

THE GEORGE WASHINGTON UNIVERSITY
Washington, D.C.

MINUTES OF THE REGULAR MEETING
OF THE FACULTY SENATE HELD ON
DECEMBER 9, 2005

Present: President Trachtenberg, Vice President Lehman, Registrar Amundson, and Parliamentarian Johnson; Professors Artz, Biles, Cordes, Delaney, Englander, Friedenthal, Gallo, Griffith, Gupta, Helgert, Kim-Renaud, Marotta, Miller, Mueller, Pagel, Robin, Robinson, Rycroft, Shen, Simon, Vergara, Wilmarth, and Wirtz

Absent: Deans Brown, Frawley, Futrell, Katz, Lawrence, Phillips, Scott, Tong, and Whitaker; Professors Briscoe, Castleberry, Garriss, and Zea

The meeting was called to order by Executive Vice President for Academic Affairs Donald R. Lehman at 2:25 p.m.

APPROVAL OF THE MINUTES

Professor Mueller moved that that his remarks in the first full paragraph on page 6 of the minutes be amended to read: "Professor Mueller said he did not wish to disagree with Dean Futrell, and had not seen recent salary data, but for the record, he did not believe that GSEHD is close to the 60th AAUP percentile."

Professor Wilmarth moved that the last sentence in the second full paragraph on page 5 be amended to read, "He said he thought this was a nationwide crisis because many talented teachers have decided to leave the teaching profession." The motions were seconded, and the minutes of the regular meeting held on November 11, 2005 were approved as amended.

RESOLUTIONS

I. RESOLUTION 05/3, "A RESOLUTION TO ENDORSE THE GEORGE WASHINGTON UNIVERSITY STATEMENT OF ETHICAL PRINCIPLES"

On behalf of the Committee on Professional Ethics and Academic Freedom (PEAF), Professor Arthur E. Wilmarth, Jr., Chair, introduced Resolution 05/3. Professor Wilmarth introduced the Resolution by observing that the Board of Trustees had indicated that they wanted the University to adopt a Statement of Ethical Principles. At the request of the Senate Executive Committee, a draft statement was prepared by the University's Office of the General Counsel (OGC), and the draft was forwarded to the PEAF Committee for its review and recommendations.

Resolution 05/3 reflects two concerns expressed by members of the PEAF Committee: first, that the Statement would be viewed as an aspirational document, or

statement of principles, and not as a vehicle for bringing claims or imposing sanctions on a faculty member. The University already has in place a number of important policies that have very detailed and careful procedures for determining when a violation occurs, including provisions for a hearing and the imposition of sanctions. The Resolution, therefore, clearly states the Faculty Senate's understanding that the Statement of Ethical Principles will not be used to provide an independent basis for imposing sanctions, nor will it modify policies and procedures already in place, as the Statement's primary purpose is to summarize aspirational principles. Professor Wilmarth said that the Statement was something more than a mission statement, perhaps a values statement. Staff in the University's OGC have indicated they are comfortable with alterations to the document made by the PEAFC Committee and that Office is very willing to present the Statement to the Board if it is adopted by the Faculty Senate.

Professor Mueller noted that the segment of Exhibit A (the Statement) entitled "Integrity and Respect" lists a number of diversity categories -- race, age, and religion among them. He asked why some diversity categories were listed, and not others. Professor Wilmarth responded that these categories were contained in the draft Statement forwarded by OGC and the PEAFC Committee had not changed them.

Professor Miller moved that the sentence in that same section, "Harassment along sexual, racial, or political lines has no place in the community." be removed because it is poorly drafted, and redundant. The motion was seconded, the question was called, a vote was taken, and the motion passed unanimously.

Professor Wirtz observed that the first Whereas Clause of Resolution 05/3 makes reference to trustees, senior officials, faculty, staff, and others acting on the University's behalf as being subject to provisions of the Statement of Ethical Principles. He further observed the draft Statement is inconsistent in that in some places it refers to trustees, senior officials, faculty, staff, and others acting on behalf of the University, and in other sections the Statement only mentions faculty, staff, and officials, or other categories of persons acting on behalf of the University. Vice President Lehman confirmed that the Statement is intended to apply to everyone at the University, including trustees. Professor Robinson moved that the phrase, "trustees, senior officials, faculty, principal investigators, staff, student employees, and others acting on the University's behalf" be inserted in all portions of the Statement where categories of personnel are listed in the draft, so that the language would be consistent. The motion was seconded. The question was called, and the motion passed unanimously.

Professor Miller directed the Senate's attention to the last line in the section entitled "Responsibility and Accountability" and moved that the last sentence, with its reference to "business judgment," be stricken. Discussion followed. Professor Artz suggested an amendment to the motion which would retain the last sentence, but change the word "business" to "professional" and the amendment was accepted by Professor Miller. The question was called. A vote was taken and the motion passed unanimously.

The question was then called and a vote to adopt Resolution 05/3 with the Statement of Ethical Principles, as amended, was taken. The motion passed unanimously. (Resolution 05/3 and the Statement of Ethical Principles is attached.)

II. RESOLUTION 05/4, "A RESOLUTION TO ENDORSE TECHNICAL AMENDMENTS TO THE DISCLOSURE FORMS FOR FACULTY MEMBERS AND INVESTIGATORS UNDER THE GEORGE WASHINGTON UNIVERSITY POLICY ON CONFLICTS OF INTEREST AND COMMITMENT"

On behalf of the Committee on Professional Ethics and Academic Freedom, Professor Arthur E. Wilmarth, Jr., Chair, introduced Resolution 05/4. Professor Wilmarth noted that the Faculty Senate had adopted new disclosure forms for both faculty members and principal investigators during the 2004-05 Session. Subsequently, the University's OGC had recommended technical amendments for similar forms used by trustees and senior University officials. Resolution 05/4 is a response to the OGC request that the forms for faculty members and principal investigators be amended to conform to the technical amendments made for trustees and senior administrators.

Professor Wilmarth then briefly reviewed amendments to the forms, which include changing the definition of gifts and reporting requirements for honoraria, and customary business meals provided there is a business, nonprofit, fundraising component for such meals. While outright gifts of money are prohibited in any amount, the threshold for reporting gifts of property or entertainment has been raised from \$100 to \$250 per year. Professor Simon asked if an unrestricted educational grant was equivalent to a gift. Professor Wilmarth said he did not think so, as long as the grant was made to the University and not to an individual. Vice President Lehman agreed with this interpretation. The question was called, a vote was taken, and Resolution 05/4 passed unanimously. (Resolution 05/4 and its exhibits are attached.)

INTRODUCTION OF RESOLUTIONS

No resolutions were introduced.

REMARKS BY WALTER L. STRONG, PH.D., VICE PRESIDENT FOR UNIVERSITY ADVANCEMENT, DILLARD UNIVERSITY

Vice President Lehman introduced Dr. Walter L. Strong, who is currently serving as the Vice President for Advancement at Dillard University. Dr. Strong holds a Ph.D. in Public Administration from Golden Gate University, and earned his Bachelor's degree from Southern Illinois University. Before coming to Dillard, Dr. Strong held a number of senior executive positions, including service as a Senior Vice President at Wayne State University.

Dr. Strong distributed two packets of information, the first being a set of pictures documenting the damage caused to the Dillard University campus by Hurricane Katrina, [this information was circulated during his remarks] and the second describing the activities in which he has been engaged while here in Washington D.C. (This information is attached to the minutes.)

Dr. Strong began his remarks by thanking President Trachtenberg and The George Washington University community for the warm welcome extended and the housing

provided for himself and his family. This came following the family's evacuation from New Orleans to Houston with just a few articles of clothing and the assumption they would be able to return home. Damage caused by the devastating hurricane made this impossible for the Strong's and for many, many others.

Following an initial assessment of the situation in New Orleans on September 1st, Dr. Marvalene Hughes, Dillard's President, and her cabinet, which was by then spread all over the country, made the determination that the first order of business should be to secure an opportunity to come to Washington, D.C. and begin work immediately on a recovery plan for Dillard. Thanks to President Trachtenberg's generous offer of assistance, Dr. Strong and his family were able to proceed to the nation's capital shortly after Labor Day.

It is fortunate that Dillard was prepared with a sound evacuation plan, the development of which Dr. Strong highly recommended for any educational institution. All of the students in Dillard's residence halls were evacuated the Saturday before the storm, but they were forced to leave everything behind in their rooms. Students found refuge at some 68 institutions of higher education across the United States and Canada, which offered assistance. Dr. Strong characterized the caring, sustained assistance, and help in problem-solving offered by these institutions as a symbol of the special qualities of the academy.

Dr. Strong then briefly described a visit to New Orleans three weeks ago. At 6 o'clock at night, the only lights in the city were those downtown in the big hotels; there was complete and utter darkness in the neighborhoods. Once he traveled downtown, Dr. Strong observed a lot of activity, with people about on the street and many working to try to rebuild the city. Dr. Strong said his visit made it clear to him that there are "two New Orleans." One is the northern New Orleans of the French Quarter and Saint Charles, and the other consists of neighborhoods previously occupied largely by the very, very poor, both black and white, almost all of whom lacked any means of transportation out of New Orleans to escape the storm. These were the people, he said, whom everyone saw in the Superdome, and at the Convention Center. Dr. Strong also said the value of education and equality of opportunity and access was clear, as was the imperative of rebuilding and improving Dillard University.

According to Dr. Strong, Dillard University is a national treasure, a historically black college and university, with a total enrollment of approximately 2100 students, most of whom are the first in their family to attend college. Dillard has a modest endowment of \$46 million and is tuition dependent, with revenue from tuition and fees approximately matching the payroll for faculty and staff of \$26 million a year (for 2005-06). Highlights of the significant structural damage caused to nearly all of Dillard University's facilities, and the estimates of losses incurred as a result of Katrina, are contained in the information packet distributed by Dr. Strong, and attached to these minutes. Virtually every building on campus, including the library, sustained some kind of water or wind damage. If New Orleans can be envisioned as a saucer set behind its levies, the Dillard campus sits at the lowest point, and water levels rose to some 10-12 feet, stopping only at the steps of the campus chapel.

Of course, Dillard was forced to postpone classes with a resultant loss of revenue. Although it did not declare financial exigency, in November the University reluctantly laid

off faculty and staff. However, \$8.5 million has been raised this fall, and foundation support for the next 18 months has been secured. Dillard students will return to Louisiana on January 9, 2006, and fifty faculty will be there to conduct classes in facilities made available by Tulane University. Students will be housed in commercial properties and the plan is that students will complete their coursework and graduate on time at ceremonies held on the Dillard campus. At the conclusion of his remarks, Dr. Strong once again thanked the University community and President Trachtenberg for their support.

Professor Mueller asked Dr. Strong to elaborate on the collaboration between Dillard and Tulane. Dr. Strong responded that one of the positive outcomes of the Katrina experience was the opportunity to forge new ties with other educational institutions in New Orleans. Proposals are under consideration to establish joint and rotating professorships with Tulane, as well as a scholarship program that would allow graduates of Dillard and Xavier to pursue graduate studies at Tulane. Faculty will also collaborate on finding solutions to problems faced by the city of New Orleans. Professor Mueller noted that Tulane will be requiring its students to perform community service in New Orleans once they return, and he asked if this would be true for Dillard as well. Dr. Strong said that eventually there would be a public service component to Dillard's curriculum, but the challenge is that the Dillard campus will probably not be ready to receive students willing to participate until the Fall, 2006 semester.

BIENNIAL FACULTY SALARY EQUITY REPORT

On behalf of the Appointment, Salary, and Promotion Policies Committee (ASPP), Professor Murli M. Gupta, Chair, reported to the Senate on the Biennial Faculty Salary Equity Report as follows:

The Committee to study faculty salary equity was formed in June 2003 and has tirelessly worked through the past 2 years to complete this report. This Committee was chaired by Professor Michael King who is here to answer any questions; two senators – Ralph Mueller and Maria Cecilia Zea were members and another senator, Phil Wirtz, served as statistical consultant to the Committee. Assistant Vice Presidents Annie Wooldridge and Peggys Cohen provided much of the background analysis and grunt work to the Committee. I wish to express our deep appreciation to all of the Committee members for their untiring work and for this very important report which is very helpful in providing salary equity to full time regular faculty at GW.

The prior salary equity reports were completed in 2001 (covering 1998/99 salaries) and 1998 (covering 1995/96 salaries). Selected components of these reports are contained in the appendices (pp. 13-20) to provide a historical perspective on the issue of faculty salary equity at GW.

A draft copy of this report was submitted by the Committee to Executive Vice-President for Academic Affairs (EVPAA) Lehman in late summer and Dr. Lehman provided his responses to various issues

raised by the Committee—these responses (in the form of an email message) form pages 21-22 of the attachment circulated with the agenda of this meeting. Professor King's response to Vice President Lehman is contained on page 23 of this package.

Let me briefly summarize the methodology and results of this report. The Committee utilized an Automatic Interaction Detector (AID) program (page 3-4) for initial review —this program has been used in all of the salary equity review processes at GW. The Committee also utilized a revised visualization analysis of faculty profiles for further review —this was first used by the 2001 review Committee and included examination of graphs of salaries of each rank within each department plotted as a function of time in rank (page 6). People who were + or - 1.5 standard deviations from the mean were initially identified as people of interest who were examined further. A total of 155 people across all schools were identified through this review (page 7). Assistant Vice President Wooldridge examined each of these faculty members' annual reports and prepared (anonymous) summaries on each for the Committee. This review explained the salary levels of 81 faculty thus leaving 74 unexplained apparent disparities requiring reviews by the deans. The deans provided sufficient information to resolve 56 of these cases thus leaving 18 cases that were identified for detailed Committee review. Assistant Vice Presidents Cohen and Wooldridge identified another 14 cases from departments with small numbers of faculty in various ranks.

The full Committee reviewed these 32 in detail and was able to explain apparent salary discrepancies for all but 8 cases which were recommended to the EVPAA for necessary adjustments. As noted by Dr. Lehman (page 22 of enclosure), all of these 8 cases have been handled and appropriate adjustments have been made effective January 1, 2006.

The Committee raised a number of issues of concern (see pages 8-11) and I would like to make a few comments about their Issue I: Review of Annual Reports by Chairs and Deans. The Committee noted that many annual reports were missing or incomplete and stated that it is incumbent upon the chairs and deans to ensure that the annual reports are accurate and timely. As discussed in the ASPP Committee, the determination of salary equity is based on outliers and there were more than 100 outliers to evaluate, this evaluation process is hampered by incomplete or missing annual reports. The Committee noted that the number of referrals to the deans in this cycle was about 85% greater than in the previous cycle.

It is also critical that the annual reports reflect the departmental standards for the purposes of tenure and promotion. The Committee

expressed concern that some faculty may have been disadvantaged for the sanctioned assumption of roles requiring reduction in research and teaching responsibilities.

I invite your comments. I'd like to thank the members of the Committee. Most of them are here.

Professor Griffith said he would like to acknowledge the tremendous amount of work that goes into production of this report. He asked Professor Gupta if a recommendation made by an earlier salary review committee [on which he had served] had been implemented, which would provide each dean with printouts of departmental salaries, ordering faculty by rank and time in rank. Vice President Lehman responded that the deans had actually initiated the process of submitting materials to him ranked by department and also by salary, and this had proved a useful way to proceed.

Professor Michael King, who had chaired the Biennial Faculty Salary Equity Committee, said he thought that Professor Gupta had done an excellent job of summarizing the report. He also expressed his appreciation to Committee members for their participation in the process. He noted that the work this year was substantially more challenging than in previous years, in that a large group of individuals, something like 50% of the faculty, had been added back to the cohort of the faculty who had been redacted from the previous examination. Professor King said he thought there are two pieces of information that came from the report which are very positive from the perspective of faculty. The first is that, by and large, the University policy of merit-based salary increases is working across the University, and there were no factors that one could point to in salary disparities anywhere that suggested that there is any discriminatory involvement in the awarding of merit-based salaries. In addition, the number of faculty who merited review by Academic Affairs represented less than 1% of the faculty, as was the case in the previous biennial review.

There being no further questions or discussion, Vice President Lehman said he personally wanted to thank Professor King for chairing the Committee, and also Professors Zea and Mueller who had served as Committee members. He also commended Assistant Vice Presidents Wooldridge and Cohen for their incredible staff work on the project.)The Biennial Faculty Salary Equity Report was distributed with the agenda for the December 9th meeting.)

UPDATE ON THE 4 X 4 TASK FORCE

Vice President Lehman said his report would focus on five basic areas of the Task Force's work, to include the basic charge to the Task Force, the group's structure, the essence of work undertaken thus far, trips made to other institutions utilizing a 4 x 4 curriculum, and the next steps in the process.

Vice President Lehman said that his desire to re-examine possible adoption of a 4 x 4 curriculum derived from one of the objectives that emerged from work on the Strategic Plan

for Academic Excellence. He said that a report which was separate from the actual Strategic Plan document (but included in the voluminous supporting materials) had been prepared under the leadership of Associate Vice President Craig Linebaugh and Executive Director of Academic Planning and Assessment Cheryl Beil, and this report focused on student engagement and academic challenge. One of the strong recommendations in that report was for the University to undertake a very detailed analysis of whether or not a change of curriculum focused on a 4 x 4 type of structure for undergraduates would enhance academic challenge and engagement at GW. This recommendation formed the basic charge to the Joint Task Force.

Vice President Lehman then reviewed the composition of the Joint Task Force which includes four faculty members recommended by the Faculty Senate (one from each of the undergraduate schools): Robert Dunn, representing Columbian College of Arts and Sciences (CCAS), Robert Rycroft of the Elliott School of International Affairs (ESIA) [who replaced Joseph Pelzman, who is on leave], Edward Cherian of the School of Business (SB), and Roger Lang of the School of Engineering and Applied Science (SEAS). The Schools also appointed individuals, and Vice President Lehman said he also selected several people.

Also serving on the Joint Task Force (by School) are:

CCAS:	Dean William Frawley, Professors Gerald Feldman, Ingrid Creppell, and Judith Plotz
ESIA:	Professors David Grier, Deborah Avant and Catherine Allen
SB:	Professors Mary Gowan, Lee Burke, and Doug Frechtling
SEAS:	Professors Yin-Lin Shen, Can Korman, and Michael Feldman
GSEHD:	Professor Yas Nakib

Vice President Lehman noted that Professor Nakib obviously does not represent an undergraduate School, but was appointed to the Task Force because the Graduate School of Education and Human Development was interested in whether or not the University might consider implementing a 4 x 4 curriculum at the graduate level. This particular question has been addressed briefly, but not thoroughly, at this point.

The Task Force includes three students: Maggie Beckham and Charlie Leizear, representing the Student Association, and Ross Mankuta, who was appointed last year to the Committee, and asked to stay on. Several staff also serve on the Task Force, including Associate Vice President Linebaugh, Executive Director of Academic Planning and Assessment Cheryl Beil, Registrar Elizabeth Amundson, Associate Director of Institutional Research Joe Knop, and Professor Parviz Ansari, an ACE fellow at the University this year.

At the beginning of its study last year, the Task Force settled upon four main areas for study of a possible 4 x 4 curriculum, to include communication to the outside community, academics, administrative aspects, and resources. The communications plan is complete, and the group is nearly finished discussing academics. The major categories discussed under this segment have been the potential impact on faculty, curricula, special academic programs, students, and graduate programs. Still to be considered are alternate strategies to address the charge to the Joint Task Force.

Throughout the fall semester, the Joint Task Force has met every other week for two hours, and this schedule will resume in January following the winter break. Vice President Lehman said that attendance at the meetings has been superb and thus far the student members have attended all of the sessions. Once the discussion concerning academics is concluded, the Joint Task Force will begin to study resources issues.

As part of its work, the Joint Task Force has deemed it very important to visit other universities utilizing a 4 x 4 curriculum. Joint Task Force members have visited New York University, the University of Pennsylvania, Duke University, Tufts, Boston University and Swarthmore College. While Swarthmore is not a comparable institution, it was selected to examine the operation of a 4 x 4 curriculum at a liberal arts college. What faculty and students making these visits learned was that there really is no such thing as a "pure" 4 x 4 curriculum. Some institutions are very flexible across schools, with 4 x 4 in one and 5 x 3 in another; some utilize 4 x 4 at both the undergraduate and graduate levels. It is also very clear that where changes have taken place, in all except one case they were very tightly connected to curriculum change, and the 4 x 4 grew out of a desire for a new culture relative to the curriculum. In today's environment, with accrediting agencies beginning to look for assessment of outcomes and what students are learning, curriculum change is very important in creating a learning-centric environment, which has been achieved both at the University of Pennsylvania and Duke University.

At several of the institutions visited by the Task Force, student perception of success is based not on activity external to the school, but academic activity within the school. Because of the connectivity of the students both to the academic environment and the faculty, there is a lot more emphasis on activity within the university campus than outside the institution. This is true both in Boston and Philadelphia. This is interesting because GW students almost from day one want to participate in external activities, but that is not the orientation in a large number of these other institutions utilizing a 4 x 4 curriculum, particularly the better ones.

Clearly, Vice President Lehman said, resources are an issue, in terms of what would be required to make sure an institution is prepared to make such a change, and then to follow through. Advising is absolutely critical during such a transition, and after.

The Task Force hopes to complete its work by the end of March, 2006, and return a recommendation to the community. The Task Force has also begun looking at how departments might make curriculum changes required by a shift to 4 x 4. Reports have been received from the English and Computer Science departments, and two departments in the Business School are looking at what such a shift might mean. Dean Frawley (CCAS) has just reported on various models to consider for changing general curriculum requirements based on what has been done at Duke and other universities.

Vice President Lehman concluded his update by offering to prepare a package of all of the minutes of the Task Force meetings to date, along with reports the Task Force has considered. He then asked if any of the Task Force members present had anything to add.

Professor Roger Lang (SEAS), said that the Task Force has examined a number of different institutions, some wealthy, and others not so well-endowed. A key question is how

much money and psychic energy an institution wishes to spend accomplishing the change. Achieving student engagement is a question that should be addressed; if 4 x 4 is better than 5 x 3, then it is necessary to look at other schools and see how this shift has led to more engagement. At Duke, for instance, it is clear that students are very interested in research at the undergraduate level, and they are very involved in such projects; they do a lot of work outside of class. It is a complex situation, not a simple one, and if done well can be very good; if done poorly, the results can be negative.

Professor Cordes asked how greater internal focus could be attributed to a 4 x 4 curriculum when there are so many variables to be considered – whether institutional location, size, or other factors. In other words, ideally there would be some sort of control in the comparison to ensure that 4 x 4 is really the key variable in reaching the goal of enhancing academic challenge and student engagement. Vice President Lehman responded that this very question had just been discussed by the Task Force, but that question cannot be answered yet.

Professor Robinson asked how the Task Force went about selecting individuals to be interviewed at the institutions visited. Vice President Lehman said that Professor Ansari had initially contacted institutional Provosts, who provided access to students, faculty, administrators and others with experience in all aspects of a 4 x 4 curriculum on a given campus.

Professor Gupta asked what the costs would be in implementing such a curriculum change, and what time frame would be involved. Vice President Lehman said that including planning, two to three years would be required. While no one at the institutions visited put a price tag on such a shift, clearly a major factor is time resources on the part of faculty who have to restructure courses. In fact, a problem at some institutions has been getting the faculty to make the necessary changes to courses so that they would be more intensive than a three-hour course. The Task Force plans to do a financial analysis, and in terms of a time-frame for its recommendations, if a positive recommendation is forthcoming at the end of March, 2006, an Implementation Committee would then be organized to lay out an implementation plan.

Professor Griffith asked if the Task Force found schools which converted to a 4 x 4 curriculum and found it did not work. He added he thought he had read in the Chronicle of Higher Education that some institutions found that it did not succeed in deepening the courses but this was usually blamed on a lack of faculty cooperation. Vice President Lehman said that one of the deans at Duke University said they did not take enough time [as he put it] to get the buy-in of the faculty, but they went ahead and implemented it anyway. Apparently, people are now pleased with it. None of the institutions visited were negative about a 4 x 4, and it did not fail at any of the institutions.

Professor Garris said he thought that a number of the trip reports indicated that engineering faculties at various institutions view a 4 x 4 negatively. Vice President Lehman said he thought this was a primarily a requirement issue; engineering courses do not naturally mesh with a 4 x 4 model, as engineering requires more coursework than other programs. If an institution is really going to adopt the 4 x 4, then it is necessary to reduce the number of courses.

Professor Mueller said that as he was not on the Committee, the answer might be obvious, but the whole initiative did not make sense to him. He asked if a major curriculum revision was underway which would drive and potentially result in adoption of a 4 x 4 curriculum, or the other way around, with the cart before the horse, so to speak. Vice President Lehman reiterated the sequence he had originally outlined, that a perceived lack of academic challenge and student engagement might be remedied by adopting a 4 x 4 curriculum, which would provide a more intensive educational experience for students.

Professor Mueller asked if the Task Force thought about approaching the Schools to see if they thought curriculum revision was in order, and if so, then exploring a 4 x 4 alternative as a means of furthering these objectives. Vice President Lehman said he thought he would have to say no, because that was not the way the Task Force's work had logically commenced. He added that he thought there is a group of people who are interested in changing the curriculum, for the same reasons that are driving consideration of adopting 4 x 4.

Professor Wilmarth said he had recently read in The Hatchet that one reason a 4 x 4 was under consideration was that it would reduce the need for classroom space. He said that he did not see how this could be true, as one class hour would actually be added each week for each student under a 4 x 4 curriculum, compared to a 5 x 3 curriculum. Vice President Lehman responded that the number of courses would be reduced from 5 to 4, and even considering the additional hour (from 15 credits to 16) this would reduce the demand on classrooms overall. One of things that surprised the Task Force, he said, was that at most institutions utilizing the 4 x 4, seat time per course did not amount to four hours. Professor Wilmarth expressed serious reservations about any arrangement in which class hours would not be equal to credit hours. He also greatly doubted whether a 4 x 4 curriculum could achieve the stated goal of enhancing the students' educational experience and engagement if it reduced the number of class hours per week. Vice President Lehman responded that at some institutions, students are expected to do more work outside of class and more material is covered during each hour spent in the classroom. However, he emphasized there is no set rule, and reiterated that there really is nothing that could be called a "pure" 4 x 4.

Professor Wirtz observed that Vice President Lehman had said that the Task Force would report at the end of March, 2006, and if its recommendation was positive on adoption of a 4 x 4, then the next step would be formulation of an implementation plan. He asked if this meant that the Senate would not be involved at all in the discussion after the Task Force concludes its work. Vice President Lehman said that the Senate could certainly be involved as it has a group of people on the Task Force and will receive a copy of its report. Professor Wirtz asked if the Vice President were saying that something as important as adoption of the 4 x 4 would not need approval by the Senate before its implementation. Vice President Lehman said that the Senate would receive a copy of the report and can certainly report its recommendations.

For the record, Professor Wirtz said he thought the way the discussion is being framed, adoption of 4 x 4 seems almost a fait accompli. Vice President Lehman denied this was the case, as no recommendation has yet been reached by the Task Force. Professor

Wirtz added that faculty he has talked to are not nearly as enthusiastic about adopting 4 x 4 as suggested by the report on the Task Force's activities. He said he thought it only appropriate that before any decision is made on the 4 x 4, and certainly before any implementation plan is devised, the University administration must secure the endorsement of the Faculty Senate. Vice President Lehman said he thought he had made it clear in his response to Professor Griffith's question that the administration understands how important it is to have support of the faculty if 4 x 4 is adopted, and he added that he was uncertain how to say this differently. Professor Wirtz suggested he could achieve this by saying that the Senate would in fact be involved in any decision on 4 x 4. Vice President Lehman responded by saying the Senate is involved, as it has four representatives on the Task Force.

Professor Robinson said it was her understanding from the beginning that the Task Force's recommendation would be reported back to the Senate for the Educational Policy Committee's consideration and recommendation, before consideration by the full Senate. Vice President Lehman responded that this would be fine.

Professor Englander inquired about the report authored by Associate Vice President Linebaugh and Director of Academic Planning and Assessment Cheryl Beil, and he asked that this report be made available to the Senate. He also asked if academic challenge and engagement were defined and measured in that report. Vice President Lehman said he thought the latter was one of the more difficult challenges, and the way it had been measured in GW's case was based on reasons given in exit interviews by students transferring to other universities. Professor Englander reiterated that he thought it would be helpful for the Senate to have this report, as the Business School had entertained a report from one of the Task Force members and it was clear from the number of questions raised by faculty that this is an issue in which they are keenly interested.

Vice President Lehman said he would like to request that the faculty read the documents produced by the Task Force, particularly the meeting minutes.

Professor Rycroft, a member of the Task Force, said this was the first he had heard that the Senate would have no formal involvement in a decision about adoption of the 4 x 4 other than the appointment of four representatives to the Task Force, and he expressed his dismay at this development. Vice President Lehman responded that the matter would come back to the Senate.

Professor Cordes asked, with all due respect to the Senate, if a decision to adopt the 4 x 4 [with its implied curricular revisions] would also be submitted to the faculties of the schools for their consideration, to which Vice President Lehman replied that the Task Force is far from finished yet.

Professor Miller then reported on a fairly extensive study done in the Elliott School of International Affairs some four years ago at which time she was the dean for curriculum. In this study, the School considered the matter of student and faculty engagement and how these should be measured. Two different questionnaires were completed by students and faculty. Admittedly, she said, ESIA students are probably different from students at other Schools at GW, in that they come to the University specifically because they want to be engaged in off campus activities in the nation's capital, and they view this as an integral part

of their learning experience. A substantial portion of students reported that they were not completely engaged in classroom activities, and faculty, from ESIA and also the Columbian College, reported the same thing. Further, both groups were generally satisfied with the level of engagement. She added that she thought it important that any attempt to create an idealized "learning-centric" environment at GW take into consideration both sides of the equation, [student and faculty engagement], before major changes are initiated. Otherwise, she added, students may very well conclude that they don't want to come to GW if classroom engagement occupies the majority of their effort and isolates them from the learning experiences they expected would be available in Washington. There being no further discussion, the Senate considered the next item on its agenda.

GENERAL BUSINESS

Professor Griffith asked to insert a new item into the agenda so that he could nominate Professor Jay Shotel of the GSEHD to the Committee on Fiscal Planning and Budgeting. Hearing no objection, Professor Shotel's nomination was approved.

I. REPORT OF THE EXECUTIVE COMMITTEE

Professor Robinson presented the Report of the Executive Committee which is enclosed.

II. INTERIM REPORTS OF SENATE STANDING COMMITTEES

Professor Sylvia Marotta, Faculty Co-Chair of the Joint Committee of Faculty and Students, submitted an Interim Report, which is attached.

BRIEF STATEMENTS (AND QUESTIONS)

Professor Griffith said he understood from reading The Hatchet that the University is seeking a food vendor to take over the space formerly occupied by Quigley's. As the University is extremely short of academic space for classrooms, faculty offices, and meeting rooms, and there are currently many student eateries all over campus, Professor Griffith said he would like to know, perhaps in a subsequent meeting, who made the decision and what the rationale is for the proposed use of this space.

Professor Englander expressed disappointment and chagrin that the University had widely touted the appearance of a Nobel Prize-winning physicist on campus, but the event was booked into a room which could not seat everyone who wanted to attend the lecture. Vice President Lehman said he had not chosen the room, but he understood the venue was selected because of the equipment there. He added that that it was very rewarding to see the whole room packed with standing room only, and the lecture itself was outstanding. Professor Englander asked if the event had been taped, and was told it had not.

Professor Robinson inquired about two recent articles in The Hatchet about the Counseling Center's consideration of adopting a policy of requesting waivers of confidentiality from counselees. President Trachtenberg said he only knew what he had read in a press release on the subject. A group is considering this matter, but no

recommendations have been issued and no decision has been made. He added that he thought what was inspiring this was an incident at Massachusetts Institute of Technology where the institution had been sued over a counseling situation. The Court apparently held that the institution was not liable, but that individuals (counselors) are liable in their private capacity. Understandably, this is of concern to counselors across America. Professor Robinson asked who would make a final decision on the matter, and Vice President Lehman said this was Senior Vice President Chernak's area, and closely connected to Linda Donnels as the Dean of Students.

ADJOURNMENT

There being no further business before the Senate, and upon motion made and seconded, the meeting was adjourned at 4:03 p.m.

Elizabeth A. Amundson

Elizabeth A. Amundson
Secretary

**A RESOLUTION TO ENDORSE THE GEORGE WASHINGTON UNIVERSITY
STATEMENT OF ETHICAL PRINCIPLES (05/3)**

- WHEREAS,** the University Administration has proposed to adopt a "Statement of Ethical Principles" covering trustees, senior officials, faculty, staff and others acting on the University's behalf, and the Administration has requested the Faculty Senate's recommendations on the proposed Statement; and
- WHEREAS,** the Faculty Senate understands that the Statement of Ethical Principles is intended to set forth aspirational guidelines for conduct and is not intended to provide an independent basis for imposing sanctions or taking other disciplinary actions against faculty members; and
- WHEREAS,** the Statement of Ethical Principles expressly refers to established policies and procedures adopted by the University with the Faculty Senate's advice and endorsement;
- WHEREAS,** the Faculty Senate understands that the Statement of Ethical Principles is not intended to supersede or modify any of the established policies or procedures of the University, including without limitation the Faculty Code, the Faculty Organization Plan and the Faculty Handbook; and
- WHEREAS,** the Faculty Senate's Committee on Professional Ethics and Academic Freedom has reviewed the proposed Statement of Ethical Principles and has endorsed the Statement (with modifications) in the form attached to this Resolution as Exhibit A; and
- WHEREAS,** the Faculty Senate believes that it would be desirable for the University to adopt a Statement of Ethical Principles in the form attached hereto as Exhibit A, subject to the Faculty Senate's understandings set forth above concerning the intent and application of the Statement; **NOW,
THEREFORE**

**BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE
WASHINGTON UNIVERSITY:**

- (1) That the Faculty Senate endorses the "The George Washington University Statement of Ethical Principles," in the form attached to this Resolution as Exhibit A, as a statement of aspirational guidelines for the conduct of trustees, senior officials, faculty members, staff and others acting on the University's behalf; and
- (2) That the Faculty Senate expresses its specific understandings that
 - (a) the Statement of Ethical Principles does not provide an

independent basis for imposing sanctions or taking other disciplinary actions against faculty members, and (b) the Statement of Ethical Principles does not supersede or modify any of the established policies or procedures of the University, including without limitation the Faculty Code, the Faculty Organization Plan and the Faculty Handbook; and

- (3) That the Faculty Senate understands and expects that any proposal to make substantive changes to the Statement of Ethical Principles will be presented to the Faculty Senate for its review and recommendations in keeping with the procedures leading to the adoption of this Resolution.

Faculty Senate Committee on Professional Ethics and Academic Freedom
November 1, 2005

Adopted, with the Statement of Ethical Principles (Exhibit A) as amended,
December 9, 2005

Exhibit A

Faculty Senate's 12/9/05 Changes to PEAFC Committee Proposed Draft 11/1/05

[DRAFT--DISCUSSION DOCUMENT GW STATEMENT OF ETHICAL PRINCIPLES]

STATEMENT OF ETHICAL PRINCIPLES

The George Washington University dedicates itself to furthering human well-being. To do this, GW must maintain the confidence of the local, national, and worldwide communities. For GW to maintain this confidence, trustees, senior officials, faculty, principal investigators, staff, student employees, and others acting on behalf of The George Washington University should strive to maintain the highest level of ethics in all of their actions on behalf of the University, and must comply with GW policies as well as external laws and regulations. This Statement of Ethical Principles sets forth standards of ethical conduct to which all persons acting on the University's behalf should aspire. The Statement should be used as a general guide in making ethical decisions in all situations, especially those where the "right" answer is not always clear.

These standards are intended to provide a summary of ethical principles of conduct and to encourage each of us to maintain heightened awareness of their existence. These Principles are also stated, clarified and implemented in several separate policies and procedures of the University. Violations of GW policies will be subject to disciplinary action as provided in those policies. Please see www.policy.gwu.edu for the latest full listing of GW policies.

Integrity and Respect

The GW community is diverse -- in race, background, age, religion, and in many other ways. The personal actions of each community member establish and maintain the culture of tolerance and respect for which we strive. The University is committed to free inquiry, free expression, and the vigorous discussion and debate on which the advancement of its educational mission depends. At the same time, trustees, senior officials, faculty, principal investigators, ~~and staff,~~ student employees, and others acting on behalf of the University should respect the rights and dignity of others regardless of their differences, and must conscientiously comply with nondiscrimination policies adopted by the University. ~~Harassment along sexual, racial, or political lines has no place in our community.~~

Responsibility and Accountability

GW trustees, senior officials, faculty, principal investigators, staff, student employees, and others acting on behalf of the University ~~and officials should~~ assume and exercise responsibility appropriate to their positions and roles. We are accountable to each other, to the University, and to ourselves for our actions and our decisions not to act. When roles or

responsibilities are unclear, we should take it upon ourselves to obtain clarity. We should exercise sound businessprofessional judgment in the performance of our responsibilities, to the best of our ability.

Conflicts of Interest and Commitment

All ~~executive officer~~ trustees, senior officials, faculty, principal investigators, staff, student employees, and others acting on behalf of the University hold positions of trust, and should conduct their activities accordingly. Activities that impair or appear to impair the ability to perform our duties or affect independence and objectivity of judgment in the discharge of our responsibilities to the University should be avoided. We should demonstrate sensitivity in identifying potential conflicts of interest, whether of a financial, personal, or professional nature. Conflicts of interest must be disclosed, reviewed, and appropriately managed or eliminated, in accordance with the reporting and other provisions of applicable University policies.

Harassment and Abuse of Power

GW supports an environment in which harassment of others is not tolerated. ~~Executive officers~~ Trustees, senior officials, faculty, principal investigators, staff, student employees, and others acting on behalf of the University may not use positions of authority to violate or to influence others to violate laws, regulations or University policies.

Stewardship

As stewards of University resources, all ~~executive officer~~ trustees, senior officials, faculty, principal investigators, staff, student employees, and others acting on behalf of the University have a responsibility to ensure that all University resources are used prudently, ethically, and for their designated purposes. We have a responsibility to contributors to the University, including federal, state, and local governments, to treat University property with care, and to expend funds prudently. We should avoid waste and improper use, and should not use tangible or intangible University assets, funds, property, or facilities for our personal benefit or for the benefit of a non-University organization without proper approval. Our acts should reflect the recognition of a special obligation to use University property responsibly and consistent with the tax-exempt status conferred on the University in light of its educational, research, and service missions. It is imperative that those with access to confidential, proprietary, or private information not make unauthorized disclosures or use of this information.

Reporting

All ~~executive officer~~ trustees, senior officials, faculty, principal investigators, staff, student employees, and others acting on

behalf of the University are expected to report violations of laws, regulations or University policies to appropriate University officials, e.g., the employee's dean, department chair or other supervisor, senior University administrator, University Compliance & Privacy Office, or Office of General Counsel. Confidentiality of individuals reporting violations of these standards will be maintained to the extent possible.

Portions of this Statement of Ethical Principles were derived from similar statements adopted by Cornell University and Yale University, and are used with their permission, which GW gratefully acknowledges.

**A RESOLUTION TO ENDORSE TECHNICAL AMENDMENTS TO THE
DISCLOSURE FORMS FOR FACULTY MEMBERS AND INVESTIGATORS
UNDER THE GEORGE WASHINGTON UNIVERSITY POLICY ON
CONFLICTS OF INTEREST AND COMMITMENT (05/4)**

WHEREAS, in Resolution 04/6 the Faculty Senate endorsed the University's adoption of two revised disclosure forms to be submitted, pursuant to the University's Policy on Conflicts of Interest and Commitment, by (1) faculty members and Investigators in connection with their annual reports to the University, and (2) faculty members and Investigators in connection with proposals for external funding (hereinafter "Disclosure Forms"); and

WHEREAS, the University Administration has proposed certain technical amendments to the Disclosure Forms, particularly with regard to gifts received by faculty members and Investigators from persons who may have business dealings with, or may be competitors of, the University;

WHEREAS, the Faculty Senate Committee on Professional Ethics and Academic Freedom has reviewed and endorsed (with modifications) technical amendments to the Disclosure Forms as shown on the forms attached to this Resolution as Exhibits A and B; and

WHEREAS, the Faculty Senate believes that the technical amendments to the Disclosure Forms shown on Exhibits A and B are consistent with the best interests of the University and its faculty: **NOW THEREFORE**

**BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE
WASHINGTON UNIVERSITY:**

- (1) That the Faculty Senate hereby endorses technical amendments to the Disclosure Forms submitted by faculty members and Investigators pursuant to the University's Policy on Conflicts of Interest and Commitment, as shown on the forms attached to this Resolution as Exhibits A and B; and
- (2) That the Faculty Senate understands and expects that future proposed amendments to the Disclosure Forms and the Policy will be presented to the Faculty Senate for its review and recommendations in keeping with the procedures followed in connection with the adoption of this Resolution.

Faculty Senate Committee on Professional Ethics and Academic Freedom
November 1, 2005

Adopted, December 9, 2005

PEAF Committee Proposed Changes 11/1/05

Annual Faculty Member and Investigator Financial Interest Disclosure Form

Pursuant to The George Washington University Policy on Conflicts of Interest and Commitment for Faculty and Investigators (May 14, 2004)

The Faculty Senate and the Board of Trustees approved an updated University-wide *Policy on Conflicts of Interest and Commitment for Faculty and Investigators* in May 2004. The full policy is available at my.gwu.edu/files/policies/ConflictofInterestandcommitment.pdf. The policy requires that each faculty member and investigator complete this form yearly.

The purpose of this form is to assist faculty, investigators, and the University in the identification of potential and actual conflicts of interest and to support compliance with applicable government regulations. Because of the complexities of The George Washington University, it is not unusual for an employee to respond affirmatively to one or more of the following questions. An affirmative response in no way implies that a conflict of interest necessarily exists or, if it does, that it cannot be managed. Please be assured that responses to this questionnaire may be submitted on a confidential basis and will be held strictly in confidence. Responses requiring further clarification will be brought to your immediate attention.

Faculty Member or Investigator Name: _____

Department/Unit: _____

College/Unit: _____

PART I (To be completed by all Faculty and Investigators)

A. Definitions

The term *significant financial interest* means

- (1) any stock, stock option, or similar ownership interest in an outside entity by the Faculty Member or Investigator that, alone or together with interests of immediate family members, is valued at least at the lesser of \$10,000 or five percent of the total ownership interests in the outside entity, excluding any interest arising solely by reason of investment by a mutual, pension, or other institutional investment fund over which neither the Faculty Member, Investigator nor any immediate family member exercises control; or
- (2) receipt, individually or collectively by a Faculty Member, Investigator and immediate family members of, or the right or expectation to receive, income, whether in the form of a fee (e.g.,

consulting), salary, allowance, forbearance, forgiveness, interest in real or personal property, dividend, royalty derived from the licensing of technology or other processes or products, rent, capital gain, real or personal property, or any other form of compensation, or any combination thereof, that over the last 12 months exceeded or over the next 12 months is expected to exceed \$10,000 in income of all types; or

(3) that the Faculty Member, Investigator, immediate family member or close family member provides services as a principal investigator for, or holds a management position in, an outside entity; or

(4) that a close family member holds an ownership interest in an outside entity or has a right to receive income from an outside entity, if such ownership interest or right to receive income would be treated as a "significant financial interest" with respect to a Faculty Member or Investigator under (1) or (2), above.

Significant financial interest does not include: (1) salary, royalties or other remuneration from the University; (2) income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities; or income from service on advisory committees or review panels for public or non-profit entities.

The George Washington University (and University) means The George Washington University and any entity owned in whole or in part, directly or indirectly, or controlled by the University, including the Medical Faculty Associates (MFA) and any joint venture.

Gifts are gratuities of money, property, services, or out-of-home entertainment. *Gifts* do not include honoraria (e.g., remuneration or gifts-in-kind) received in connection with (1) participation in seminars, lectures, or teaching engagements sponsored by public or non-profit entities, or (2) service on advisory committees or review panels for public or non-profit entities, or (3) reviewing or other advisory services provided to publishers. Usual and customary business dinners, lunches, and outings are not considered gifts provided there is a business, educational, or non-profit fundraising component. Small items marked with corporate logos also are not considered gifts. Gifts of money can never be accepted.

Immediate family member includes an employee's spouse/domestic partner and dependent children.

Close family member includes an employee's non-dependent children, as well as father, mother, sisters and brothers of the employee and the employee's spouse/domestic partner.

Material conflict of interest means a conflict of interest that has the potential (i) to influence a person's decisions or conduct or (ii) to have a non-trivial impact on the financial situation of a person or an entity in which that person or an immediate family member has a significant financial interest.

To your knowledge means your actual knowledge or knowledge that you should reasonably be expected to have based on information that has been provided to you or is in your possession. *To your knowledge* does not imply a duty to make inquiries to discover facts

that are not known to you or to obtain information that has not been provided to you or is not in your possession.

B. Certification as to Employee and Immediate Family Members

1. Do you have, or does any immediate family member have, any of the relationships, transactions, activities, or financial interests described below in subparagraphs (a) through (h)?

(a) An outside entity in which you have or an immediate family member has a significant financial interest has made, or will make, a gift to The George Washington University of cash or property that will be under your control or will directly support your teaching or research activities.

(b) You have or an immediate family member has a significant financial interest in the proposed or current sponsor of, or a proposed or current subcontractor, vendor, or collaborator for, a sponsored project involving The George Washington University.

(c) You have an actual or proposed technology licensing or commercialization arrangements with an outside entity in which you have or an immediate family member has a significant financial interest and where those arrangements might reasonably be perceived as involving or creating the appearance of a material conflict of interest with your appointment at The George Washington University.

(d) You are or will be personally involved in, or you have or will have the ability to influence the formation or implementation of, a transaction in which The George Washington University, directly or indirectly, is procuring or will procure property, goods or services from an outside entity in which you have or an immediate family member has a significant financial interest.

(e) The design, conduct or reporting of your current or proposed externally funded research at The George Washington University does impact or will foreseeably impact a significant financial interest that you hold or an immediate family member holds in an outside entity.

(f) You are or an immediate family member is a director, officer, sole owner, partner, employee, agent, consultant, or advisor of a business enterprise that to your knowledge supplies The George Washington University with any property, goods, or services.

(g) You have or an immediate family member has a significant financial interest in a business enterprise (excluding any investment representing less than 1

percent of the total equity of a publicly traded entity) that to your knowledge supplies The George Washington University with any property, goods, or services.

(h) You are a director, officer, sole owner, partner, employee, agent, consultant, or advisor of, or you have a significant financial interest in, a business enterprise (other than The George Washington University) that to your knowledge engages in the business of higher education or the delivery of patient care services.

Yes _____ No _____

2. In the past 12 months, to the best of your knowledge, have you or has any immediate family member received a loan of money, property, or services in the amount of \$250 or more (excluding any loan from a bank or other financial institution), or received a gift of money, in any amount or a gift of property, services, or out-of-home entertainment with a value exceeding \$100250, from a business enterprise that to your knowledge supplies property, goods, or services to The George Washington University?

Yes _____ No _____

3. In the past 12 months, to the best of your knowledge, have you received a loan of money, property, or services in the amount of \$250 or more (excluding a loan from a bank or other financial institution), or received a gift of money, in any amount or a gift of property, services, or out-of-home entertainment with a value exceeding \$100250, from a business enterprise (other than The George Washington University) that engages in the business of higher education or patient care services?

Yes _____ No _____

4. Do you have, or does any immediate family member have, any other relationships, transactions, activities, or financial interests that might reasonably be perceived as involving, or creating the appearance of, a material conflict of interest with your appointment at The George Washington University?

Yes _____ No _____

If your answer to any of the above Questions 1-4 is Yes, please give details, including identifying the business enterprise(s) and describing your or your immediate family member's relationship to it, as well as the approximate value of any income or financial interest, loan or gift. (Where more space is required for your answers, please attach additional pages to this questionnaire.)

C. Certification as to Employee and Close Family Members

1. To your knowledge, do you have or does any close family member have any of the relationships, transactions, activities, or financial interests described below in subparagraphs (a) through (g)?

(a) An outside entity in which a close family member has a significant financial interest has made, or it will make, a gift to The George Washington University of cash or property that will be under your control or will directly support your teaching or research activities.

(b) A close family member has a significant financial interest in the proposed or current sponsor of, or a proposed or current subcontractor, vendor, or collaborator for, a sponsored project involving The George Washington University.

(c) You have an actual or proposed technology licensing or commercialization arrangements with an outside entity in which a close family member has a significant financial interest and where those arrangements might reasonably be perceived as involving or creating the appearance of a material conflict of interest with your appointment at The George Washington University.

(d) You are or will be personally involved in, or you have or will have the ability to influence the formation or implementation of, a transaction in which The George Washington University is procuring or will procure property, goods, or services from an outside entity in which a close family member has a significant financial interest.

(e) The design, conduct or reporting of your current or proposed externally funded research at The George Washington University does impact or will foreseeably impact a significant financial interest that a close family member holds in an outside entity.

(f) A close family member is a director, officer, sole owner, partner, employee, agent, consultant, or advisor of a business enterprise that to your knowledge supplies The George Washington University with any property, goods, or services.

(g) A close family member has a significant financial interest in a business enterprise (excluding any investment representing less than 1 percent of the total equity of a publicly traded entity) that to your knowledge supplies The George Washington University with any property, goods, or services.

Yes _____ No _____

2. In the past 12 months, to your knowledge, has a close family member received a loan of money, property, or services in the amount of \$250 or more (excluding any loan from a bank or other financial institution), or received a gift of money in any amount or a gift of property, services, or out-of-home entertainment with a value exceeding \$100250, from a business enterprise that to your knowledge supplies The George Washington University with any property, goods, or services?

Yes _____ No _____

3. To your knowledge, does a close family member have any other relationships, transactions, activities, or financial interests connected to The George Washington University that might reasonably be perceived as involving, or creating the appearance of, a material conflict of interest with your appointment at The George Washington University?

Yes _____ No _____

If your answer to any of the above Questions 1-3 is Yes, please give details, including identifying the business enterprise(s) and describing your close family member's relationship to it, as well as the approximate value of any income or financial interest, loan or gift. (Where more space is required for your answers, please attach additional pages to this questionnaire.)

I certify that all of the foregoing information in **PART I** is true and complete to the best of my knowledge.

Signature

Date

Full Name (Printed)

Position Title

PART II (To be completed by University officials)

Department Chair/Unit Head – Comments and Recommended Actions

_____ To the best of my knowledge, there is no perceived or inappropriate activity or conflict.

_____ I have reviewed this disclosure and recommend the following actions be taken:

Printed Name and Signature

Date

College Dean/Director – Comments and Recommended Actions

_____ To the best of my knowledge, there is no perceived or inappropriate activity or conflict.

_____ I have reviewed this disclosure and recommend the following actions be taken:

Printed Name and Signature

Date

Executive Vice President for Academic Affairs – Comments and Approval

_____ To the best of my knowledge, there is no perceived or inappropriate activity or conflict.

_____ I have read the Financial Interest Disclosure and, if provided, the plan to manage, reduce or eliminate any actual, potential, or apparent conflict of interest. I approve of the Management Plan.

Printed Name and Signature

Date

Exhibit B

PEAF Committee Proposed Revisions 11/01/05

Proposal-Specific Investigator Financial Interest Disclosure Form

Pursuant to The George Washington University Policy on Conflicts of Interest and Commitment for Faculty and Investigators (May 14, 2004)

The Faculty Senate and the Board of Trustees approved an updated University-wide *Policy on Conflicts of Interest and Commitment for Faculty and Investigators* in May 2004. The full policy is available at my.gwu.edu/files/policies/ConflictofInterestandcommitment.pdf. Pursuant to the policy, persons responsible for the design, conduct, or reporting of University sponsored programs (hereinafter "Investigators") must complete this form for each proposal submitted for external funding.

The purpose of this form is to assist faculty, Investigators, and the University in the identification and management of potential and actual conflicts of interest and to support compliance with applicable government regulations. Because of the complexities of The George Washington University, it is not unusual for an employee to respond affirmatively to one or more of the following questions. An affirmative response in no way implies that a conflict of interest necessarily exists or, if it does, that it cannot be managed. Please be assured that responses to this questionnaire may be submitted on a confidential basis and will be held strictly in confidence. Responses requiring further clarification will be brought to your immediate attention

Faculty Member or Investigator Name: _____

Department/Unit: _____

Sponsor: _____

Title: _____

PART I (To be completed by all Investigators)

A. Definitions

The term *significant financial interest* means

(1) any stock, stock option, or similar ownership interest in an outside entity by the Faculty member or Investigator that, alone or together with interests of immediate family members, is

valued at least at the lesser of \$10,000 or five percent of the total ownership interests in the outside entity, excluding any interest arising solely by reason of investment by a mutual, pension, or other institutional investment fund over which neither the Faculty Member, Investigator nor an immediate family member exercises control; or

(2) receipt, individually or collectively by a Faculty Member, Investigator and immediate family members of, or the right or expectation to receive, income, whether in the form of a fee (e.g., consulting), salary, allowance, forbearance, forgiveness, interest in real or personal property, dividend, royalty derived from the licensing of technology or other processes or products, rent, capital gain, real or personal property, or any other form of compensation, or any combination thereof, that over the last 12 months exceeded or over the next 12 months is expected to exceed \$10,000 in income of all types; or

(3) that the Faculty Member, Investigator, immediate family member or close family member provides services as a principal investigator for, or holds a management position in, an outside entity; or

(4) that a close family member holds an ownership interest in an outside entity or has a right to receive income from an outside entity, if such ownership interest or right to receive income would be treated as a "significant financial interest" with respect to a Faculty Member or Investigator under (1) or (2), above.

Significant financial interest does not include: (1) salary, royalties or other remuneration from the University; (2) income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities; or income from service on advisory committees or review panels for public or non-profit entities.

The George Washington University (and University) means The George Washington University and any entity owned in whole or in part, directly or indirectly, or controlled by the University, including the Medical Faculty Associates (MFA) and any joint venture.

Gifts are gratuities of money, property, services, or out-of-home entertainment. *Gifts* do not include honoraria (e.g., remuneration or gifts-in-kind) received in connection with (1) participation in seminars, lectures, or teaching engagements sponsored by public or non-profit entities, or (2) service on advisory committees or review panels for public or non-profit entities, or (3) reviewing or other advisory services provided to publishers. Usual and customary business dinners, lunches, and outings are not considered gifts provided there is a business, educational, or non-profit fundraising component. Small items marked with corporate logos also are not considered gifts. Gifts of money can never be accepted.

Immediate family member includes an Investigator's spouse/domestic partner and dependent children.

Close family member includes an Investigator's non-dependent children, as well as father, mother, sisters and brothers of the Investigator and the Investigator's spouse/domestic partner.

To your knowledge means your actual knowledge or knowledge that you should reasonably be expected to have based on information that has been provided to you or is in your possession. *To your knowledge* does not imply a duty to make inquiries to discover facts that are not known to you or to obtain information that has not been provided to you or is not in your possession.

B. Certification as to Investigator and Immediate Family Members

1. Do you have, or does any immediate family member have, any of the relationships, transactions, activities, or financial interests described below in subparagraphs (a) through (g)?

(a) An outside entity in which you have or an immediate family member has a significant financial interest has made, or will make, a gift to The George Washington University of cash or property that will be under your control or will directly support this sponsored project.

(b) You have or an immediate family member has a significant financial interest in the proposed or current sponsor of, or a proposed or current subcontractor, vendor, or collaborator for, this sponsored project.

(c) You have or an immediate family member has an actual or proposed technology licensing or commercialization arrangement with the proposed or current sponsor of, or a proposed or current subcontractor, vendor, or collaborator for, this sponsored project.

(d) You are or will be personally involved in, or you have or will have the ability to influence the formation or implementation of, a transaction to procure property, goods, or services for this sponsored project from an outside entity in which you have or an immediate family member has a significant financial interest.

(e) The design, conduct or reporting of this sponsored project does impact or will foreseeably impact a significant financial interest that you hold or an immediate family member holds in an outside entity.

(f) You are or an immediate family member is a director, officer, sole owner, partner, employee, agent, consultant, or advisor of a business enterprise that to your knowledge supplies or will supply The George Washington University with any property, goods, or services for this sponsored project.

(g) You have or an immediate family member has a significant financial interest in a business enterprise that to your knowledge supplies or will supply The

[illegible]

C. Certification as to Investigator and Close Family Members

1. To your knowledge, do you have or does any close family member have any of the relationships, transactions, activities, or financial interests described below in subparagraphs (a) through (f)?

(a) An outside entity in which a close family member has a significant financial interest has made, or will make, a gift to The George Washington University of cash or property that will be under your control or will directly support this sponsored project.

(b) A close family member has a significant financial interest in the proposed or current sponsor of, or a proposed or current subcontractor, vendor, or collaborator for, this sponsored project.

(c) You are or will be personally involved in, or you have or will have the ability to influence the formulation or implementation of, a transaction to procure property, goods, or services for this sponsored project from an outside entity in which a close family member has a significant financial interest.

(d) The design, conduct or reporting of this sponsored project does impact or will foreseeably impact a significant financial interest that a close family member holds in an outside entity.

(e) A close family member has an actual or proposed technology licensing or commercialization arrangement with the proposed or current sponsor of, or a proposed or current subcontractor, vendor, or collaborator for, this sponsored project.

(f) A close family member is a director, officer, sole owner, partner, employee, agent, consultant, or advisor of, or has a significant financial interest in, a business enterprise that to your knowledge supplies or will supply The George Washington University with any property, goods, or services for this sponsored project.

Yes _____ No _____

2. In the past 12 months, to your knowledge, has a close family member received a loan of money, property, or services in the amount of \$250 or more (excluding any loan from a bank or other financial institution), or received a gift of money, in any amount or a gift of property, services, or out-of-home entertainment with a value exceeding \$100250, from: (a) a business enterprise that to your knowledge supplies property, goods, or services to the George Washington University, or (b) the sponsor of, or a subcontractor, vendor, or collaborator for, this sponsored project?

Yes _____ No _____

3. To your knowledge, does a close family member have any other relationships, transactions, activities, or financial interests that might reasonably be perceived as involving, or creating the appearance of, a conflict of interest with respect to your involvement in this sponsored project?

Yes _____ No _____

If your answer to any of the above Questions 1-3 is Yes, please give details, including identifying the business enterprise(s) and describing your close family member's relationship to it, as well as the approximate value of any income or financial interest, loan or gift. (Where more space is required for your answers, please attach additional pages to this questionnaire.)

This image shows a single sheet of white paper with horizontal blue or grey ruling lines. The lines are evenly spaced and run across the width of the page. There is no handwriting or printed text on the paper.

I certify that all of the foregoing information in **PART I** is true and complete to the best of my knowledge.

Signature _____

Date _____

Full Name (Printed)

Position Title

PART II (To be completed by University officials)

Department Chair/Unit Head – Comments and Recommended Actions

_____ To the best of my knowledge, there is no perceived or inappropriate activity or conflict.

_____ I have reviewed this disclosure and recommend the following actions be taken:

Printed Name and Signature

Date

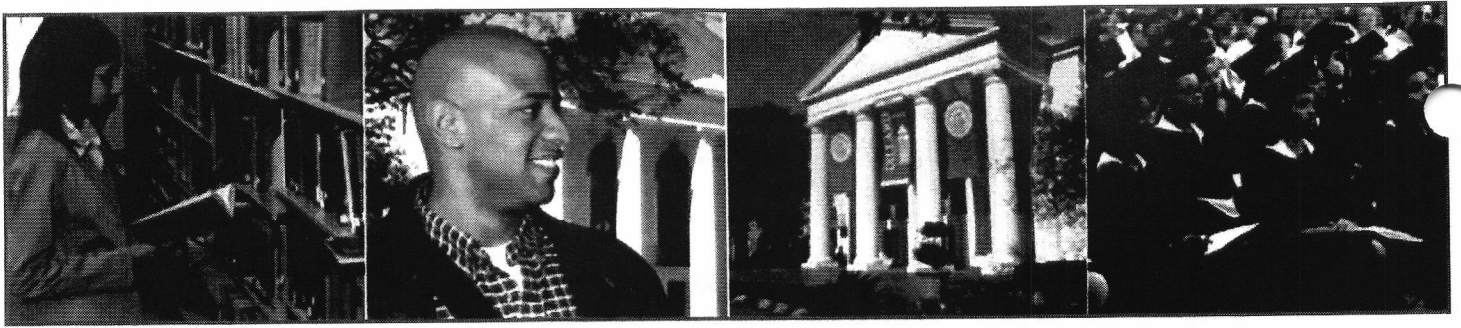
College Dean/Director – Comments and Recommended Actions

_____ To the best of my knowledge, there is no perceived or inappropriate activity or conflict.

_____ I have reviewed this disclosure and recommend the following actions be taken:

Printed Name and Signature

Date



**REMARKS BEFORE THE
FACULTY SENATE**

THE GEORGE WASHINGTON UNIVERSITY

Walter L. Strong, Ph.D
Vice President – Advancement
Dillard University
December 9, 2005



2601 Gentilly Blvd
New Orleans, LA 70122

December 9, 2005

To The George Washington University Community:

I genuinely thank President Stephen Joel Trachtenberg and the entire George Washington University family for welcoming our students, and my family and me, at a time of great trauma. I am very grateful for your special support in affording us a place to live while in Washington. Your hospitality has personally enabled me to focus on Dillard's challenge to secure federal and private support to facilitate the University's recovery without affecting Dillard's fiscal resources.

Our strategic intent is to return to New Orleans as soon as possible, reconvene classes, restore Dillard's campus, and engage in the rebuilding of New Orleans.

I am pleased to inform you that Dillard's spring semester will begin in January, 2006 in New Orleans at Tulane University facilities while Dillard's campus undergoes extensive repair and renovation. Our seniors will graduate on time and Commencement exercises will be on the Dillard campus in June.

Restoration and recovery of the university and the City of New Orleans will take time, but it will get done. The tangible support of The George Washington University and many other friends in the higher education community have kept us going. Your demonstrable caring, sustained assistance and willingness to help us in problem-solving symbolizes the special qualities of the Academy.

President Stephen Joel Trachtenberg and The George Washington University Community, on behalf of President Hughes, thank you for hosting our students and the Strong family.

With grateful appreciation,

Walter L. Strong, Ph.D.
Vice President

Dillard University – *Rebuilding Its Excellence and Heritage*

- Dillard University, a historically black college and university (HBCU) in New Orleans, Louisiana, has long been a cornerstone of educational excellence and a critical part of the New Orleans community. Dillard University is not only committed to rebuilding the physical buildings devastated by Hurricane Katrina but also to providing a top tier educational institution for its students, the citizens of New Orleans, the state of Louisiana and the nation.
- Dillard University is a critical institution of higher education for New Orleans and the State of Louisiana by providing education to a majority of its students who are the first in their family to attend college.
- Dillard also is an integral part of the New Orleans economy by providing employment to several hundred New Orleans citizens.
- Hurricane Katrina caused significant structural damage affecting almost all of Dillard University's facilities. This included:
 - Flood levels throughout the campus ranged from four to eight feet destroying the first floors of all dormitories, the Dillard University International Center for Economic Freedom Building, and the theater housed in the Samuel DuBois Cook Fine Arts Building.
 - Some buildings will need to be raised due to the inability to repair.
 - The campus information technology center was destroyed. Much of the land will require drainage work, cleanup and landscaping to return its value prior to the hurricane.
 - Fires broke out after the hurricane and destroyed three dormitory buildings.
 - There is severe roof damage on many buildings that will require a great deal of restoration work.
- Dillard estimates losses resulting from Hurricane Katrina at \$347,600,000. A breakdown of this amount is as follows:
 - Capital losses which include the infrastructure and clean up efforts total \$282 million.
 - Dillard University's lost revenue from tuition and fees for 2005-2006 are \$25,900,000.
 - Payroll for faculty and staff for one year is \$26 million
 - Transitional costs until the campus is ready for reoccupancy total \$13.7 million.
- Dillard University requests that Congress appropriate funding to an Education Relief Fund that would compensate educational institutions for direct and incremental losses due to Hurricane Katrina.



DILLARD UNIVERSITY
Excellence and Heritage

Rebuilding Universities Affected by Hurricane Katrina

Legislative Vehicle

Fund for Direct and Incremental Losses to Universities Resulting From Hurricane Katrina

- Congress would appropriate funding that would compensate educational institutions for direct and incremental losses due to Hurricane Katrina. The fund would provide compensation for losses incurred beginning on August 28, 2005.
- Congress would designate the amount of the new budget authority and outlays in all fiscal years resulting from the Act as an emergency requirement pursuant to section 252(e) of the Balanced Budget and Emergency Deficit Control Act of 1985.
- This fund would be administered by the Education Stabilization Board. The Board would be composed of the Secretary of Education or the designee of the Secretary, and the Secretary of the Treasury or the designee of the Secretary.
- The Board can issue funds for direct or indirect losses resulting from the Hurricane. This would include: (1) direct and indirect construction costs and clean up costs resulting from the hurricane; (2) faculty salaries and incentives for retaining faculty for at least one year; (3) costs of lost tuition and enrollment; (4) economic and community revitalization as it relates to the University; and (5) student and faculty recruitment costs.
- There would be special rules for compensation. The amount requested must be documented with sworn financial statements or other appropriate data indicating that the university incurred certain losses as a result of the hurricane. The Secretary of Education may audit such statements and may request any information that the Secretary deems necessary to conduct such an audit. Universities also must demonstrate that they attempted to mitigate their damages prior to receiving funds and the amount received by universities will be reduced by the amount of collateral source compensation the claimant has received or is entitled to receive as a result of Hurricane Katrina. This collateral source compensation would include:
 - Private insurance; and
 - FEMA funds.

Joint Committee of Faculty and Students
Interim Report to the Faculty Senate
9 December 2005

The Joint Committee of Faculty and Students (JCFS) met three times during the fall 2005 Semester, and is addressing the following issues.

REPRESENTATION AND REPORTS

JCFS members were present at the Educational Policy Committee meetings on the online course evaluation pilot project; and at the task force meetings studying the possibility of a 4 x 4 curricular change.

JCFS STUDENT LEADERSHIP DEVELOPMENT SCHOLARSHIP

JCFS members participated in drafting criteria for applications for the scholarship, and are developing procedures for implementation of the application review and award process.

STUDENT REPRESENTATION ON THE BOARD OF TRUSTEES

The JCFS is discussing the possibility of a resolution advocating the addition of a student Trustee. The Student Senate has passed a resolution and is asking support for it from the JCFS and from the Faculty Senate. No formal action has yet been taken, though a process has been outlined for seeking additional background information, and that information is pending.

ISSUES IN PROGRESS

- JCFS heard from representatives of the Out Crowd regarding the inclusion of gender identity in the language of the current GW Non-Discrimination policy.
- The question of a possible major in Africana Studies will be discussed in the spring.
- JCFS discussed the merits of an Academic Bill of Rights to promote freedom of ideas and diversity in the classroom.
- JCFS considered the possibility of a review of the Academic Code of Integrity.

REPORT OF THE EXECUTIVE COMMITTEE

Lilien F. Robinson, Chair

December 9, 2005

ACTIONS OF THE EXECUTIVE COMMITTEE

Special Meeting on the University Budget

At the November Faculty Senate meeting, Professor Griffith suggested that a meeting of vice presidents, deans and representatives of the Faculty Senate be held to consider alternative ways of addressing the FY 2007 budget shortfall.

The Executive Committee has expanded on this recommendation. Accordingly, it is working with Vice President Lehman to arrange a special meeting of the Faculty Senate for February 3, 2006. The meeting will include the vice presidents and academic deans.

The agenda for the meeting is being developed by the Executive Committee in consultation with Vice President Lehman and Professor Griffith. I would also suggest that we advise the colleagues in our schools of this meeting and request that they provide their Senate representatives with their ideas and recommendations as we want this to be a constructive and productive meeting. Please also remind your colleagues that the information on the 2006 and the 2007 budgets is attached to the Minutes of the November Senate Minutes.

Please also note that in addition to the special meeting on February 3, we will be holding our regular monthly meeting on February 10.

University Chief Research Officer Search

The Executive Committee has appointed Professors Simon, Mueller, and Garriss to participate in the campus interviews of the finalists for the position of Chief Research Officer. Professor Briscoe is already a member and Faculty Senate representative on the Search Committee.

OTHER MATTERS

Executive Committee Meeting

Because of the holidays, the Executive Committee will hold its next meeting on December 16. Resolutions, reports, and other matters for the January 20 Senate meeting should be submitted prior to that date.

Best wishes to everyone for a wonderful holiday and a healthy and productive New Year!

THE GEORGE WASHINGTON UNIVERSITY
Washington, DC

The Faculty Senate

November 30, 2005

The Faculty Senate will meet on Friday, December 9, 2005, at 2:10 p.m. in the Alumni House, 1925 F Street, NW, First Floor

AGENDA

1. Call to order
2. Approval of the minutes of the regular meeting of November 11, 2005, as distributed
3. Resolutions
 - (a) A RESOLUTION TO ENDORSE THE GEORGE WASHINGTON UNIVERSITY STATEMENT OF ETHICAL PRINCIPLES (05/3); Professor Arthur E. Wilmarth, Jr., Chair, Committee on Professional Ethics and Academic Freedom (Resolution and Statement attached)
 - (b) A RESOLUTION TO ENDORSE TECHNICAL AMENDMENTS TO THE DISCLOSURE FORMS FOR FACULTY MEMBERS AND INVESTIGATORS UNDER THE GEORGE WASHINGTON UNIVERSITY POLICY ON CONFLICTS OF INTEREST AND COMMITMENT (05/4); Professor Arthur E. Wilmarth, Jr., Chair, Committee on Professional Ethics and Academic Freedom (Resolution and Forms attached)
4. Introduction of Resolutions
5. Remarks by Walter L. Strong, Ph.D., Vice President for University Advancement, Dillard University
6. Biennial Faculty Salary Equity Report; Professor Murli M. Gupta, Chair Appointment, Salary, and Promotion Policies Committee (Report attached)
7. Update on the 4 x 4 Task Force; Executive Vice President for Academic Affairs Donald R. Lehman
8. General Business:
 - a) Report of the Executive Committee: Lilien F. Robinson, Chair
 - b) Interim Reports of Senate Standing Committees
9. Brief Statements (and Questions)
10. Adjournment

Elizabeth A. Amundson

Elizabeth A. Amundson
Secretary

**A RESOLUTION TO ENDORSE THE GEORGE WASHINGTON UNIVERSITY
STATEMENT OF ETHICAL PRINCIPLES (05/3)**

WHEREAS, the University Administration has proposed to adopt a "Statement of Ethical Principles" covering trustees, senior officials, faculty, staff and others acting on the University's behalf, and the Administration has requested the Faculty Senate's recommendations on the proposed Statement; and

WHEREAS, the Faculty Senate understands that the Statement of Ethical Principles is intended to set forth aspirational guidelines for conduct and is not intended to provide an independent basis for imposing sanctions or taking other disciplinary actions against faculty members; and

WHEREAS, the Statement of Ethical Principles expressly refers to established policies and procedures adopted by the University with the Faculty Senate's advice and endorsement;

WHEREAS, the Faculty Senate understands that the Statement of Ethical Principles is not intended to supersede or modify any of the established policies or procedures of the University, including without limitation the Faculty Code, the Faculty Organization Plan and the Faculty Handbook; and

WHEREAS, the Faculty Senate's Committee on Professional Ethics and Academic Freedom has reviewed the proposed Statement of Ethical Principles and has endorsed the Statement (with modifications) in the form attached to this Resolution as Exhibit A; and

WHEREAS, the Faculty Senate believes that it would be desirable for the University to adopt a Statement of Ethical Principles in the form attached hereto as Exhibit A, subject to the Faculty Senate's understandings set forth above concerning the intent and application of the Statement; **NOW,
THEREFORE**

**BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE
WASHINGTON UNIVERSITY:**

- (1) That the Faculty Senate endorses the "The George Washington University Statement of Ethical Principles," in the form attached to this Resolution as Exhibit A, as a statement of aspirational guidelines for the conduct of trustees, senior officials, faculty members, staff and others acting on the University's behalf; and
- (2) That the Faculty Senate expresses its specific understandings that
 - (a) the Statement of Ethical Principles does not provide an

independent basis for imposing sanctions or taking other disciplinary actions against faculty members, and (b) the Statement of Ethical Principles does not supersede or modify any of the established policies or procedures of the University, including without limitation the Faculty Code, the Faculty Organization Plan and the Faculty Handbook; and

- (3) That the Faculty Senate understands and expects that any proposal to make substantive changes to the Statement of Ethical Principles will be presented to the Faculty Senate for its review and recommendations in keeping with the procedures leading to the adoption of this Resolution.

Faculty Senate Committee on Professional Ethics and Academic Freedom
November 1, 2005

Exhibit A

PEAF Committee Proposed Draft 11/1/05

[DRAFT--DISCUSSION DOCUMENT
GW STATEMENT OF ETHICAL PRINCIPLES]

STATEMENT OF ETHICAL PRINCIPLES

The George Washington University dedicates itself to furthering human well-being. To do this, GW must maintain the confidence of the local, national, and worldwide communities. For GW to maintain this confidence, trustees, senior officials, faculty, staff and others acting on behalf of The George Washington University should strive to maintain the highest level of ethics in all of their actions on behalf of the University, and must comply with GW policies as well as external laws and regulations. This Statement of Ethical Principles sets forth standards of ethical conduct to which all persons acting on the University's behalf should aspire. The Statement should be used as a general guide in making ethical decisions in all situations, especially those where the "right" answer is not always clear.

These standards are intended to provide a summary of ethical principles of conduct and to encourage each of us to maintain heightened awareness of their existence. These Principles are also stated, clarified and implemented in several separate policies and procedures of the University. Violations of GW policies will be subject to disciplinary action as provided in those policies. Please see www.policy.gwu.edu for the latest full listing of GW policies.

**Integrity and
Respect**

The GW community is diverse -- in race, background, age, religion, and in many other ways. The personal actions of each community member establish and maintain the culture of tolerance and respect for which we strive. The University is committed to free inquiry, free expression, and the vigorous discussion and debate on which the advancement of its educational mission depends. At the same time, faculty and staff should respect the rights and dignity of others regardless of their differences, and must conscientiously comply with nondiscrimination policies adopted by the University. Harassment along sexual, racial, or political lines has no place in our community.

**Responsibility and
Accountability**

GW faculty, staff and officials should assume and exercise responsibility appropriate to their positions and roles. We are accountable to each other, to the University, and to ourselves for our actions and our decisions not to act. When roles or responsibilities are unclear, we should take it upon ourselves to obtain clarity. We should exercise sound business judgment in the performance of our responsibilities, to the best of our ability.

Conflicts of
Interest and
Commitment

All executive officers, faculty, principal investigators, staff, student employees, and others acting on behalf of the University hold positions of trust, and should conduct their activities accordingly. Activities that impair or appear to impair the ability to perform our duties or affect independence and objectivity of judgment in the discharge of our responsibilities to the University should be avoided. We should demonstrate sensitivity in identifying potential conflicts of interest, whether of a financial, personal, or professional nature. Conflicts of interest must be disclosed, reviewed, and appropriately managed or eliminated, in accordance with the reporting and other provisions of applicable University policies.

Harassment and
Abuse of Power

GW supports an environment in which harassment of others is not tolerated. Executive officers, faculty, principal investigators, staff, student employees, and others acting on behalf of the University may not use positions of authority to violate or to influence others to violate laws, regulations or University policies.

Stewardship

As stewards of University resources, all executive officers, faculty, principal investigators, staff, student employees, and others acting on behalf of the University have a responsibility to ensure that all University resources are used prudently, ethically, and for their designated purposes. We have a responsibility to contributors to the University, including federal, state, and local governments, to treat University property with care, and to expend funds prudently. We should avoid waste and improper use, and should not use tangible or intangible University assets, funds, property, or facilities for our personal benefit or for the benefit of a non-University organization without proper approval. Our acts should reflect the recognition of a special obligation to use University property responsibly and consistent with the tax-exempt status conferred on the University in light of its educational, research, and service missions. It is imperative that those with access to confidential, proprietary, or private information not make unauthorized disclosures or use of this information.

Reporting

All executive officers, faculty, principal investigators, staff, student employees, and others acting on behalf of the University are expected to report violations of laws, regulations or University policies to appropriate University officials, e.g., the employee's dean, department chair or other supervisor, senior University administrator, University Compliance & Privacy Office, or Office of General Counsel. Confidentiality of

individuals reporting violations of these standards will be maintained to the extent possible.

Portions of this Statement of Ethical Principles were derived from similar statements adopted by Cornell University and Yale University, and are used with their permission, which GW gratefully acknowledges.

**A RESOLUTION TO ENDORSE TECHNICAL AMENDMENTS TO THE
DISCLOSURE FORMS FOR FACULTY MEMBERS AND INVESTIGATORS
UNDER THE GEORGE WASHINGTON UNIVERSITY POLICY ON
CONFLICTS OF INTEREST AND COMMITMENT (05/4)**

WHEREAS, in Resolution 04/6 the Faculty Senate endorsed the University's adoption of two revised disclosure forms to be submitted, pursuant to the University's Policy on Conflicts of Interest and Commitment, by (1) faculty members and Investigators in connection with their annual reports to the University, and (2) faculty members and Investigators in connection with proposals for external funding (hereinafter "Disclosure Forms"); and

WHEREAS, the University Administration has proposed certain technical amendments to the Disclosure Forms, particularly with regard to gifts received by faculty members and Investigators from persons who may have business dealings with, or may be competitors of, the University;

WHEREAS, the Faculty Senate Committee on Professional Ethics and Academic Freedom has reviewed and endorsed (with modifications) technical amendments to the Disclosure Forms as shown on the forms attached to this Resolution as Exhibits A and B; and

WHEREAS, the Faculty Senate believes that the technical amendments to the Disclosure Forms shown on Exhibits A and B are consistent with the best interests of the University and its faculty; **NOW THEREFORE**

**BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE
WASHINGTON UNIVERSITY:**

- (1) That the Faculty Senate hereby endorses technical amendments to the Disclosure Forms submitted by faculty members and Investigators pursuant to the University's Policy on Conflicts of Interest and Commitment, as shown on the forms attached to this Resolution as Exhibits A and B; and
- (2) That the Faculty Senate understands and expects that future proposed amendments to the Disclosure Forms and the Policy will be presented to the Faculty Senate for its review and recommendations in keeping with the procedures followed in connection with the adoption of this Resolution.

Faculty Senate Committee on Professional Ethics and Academic Freedom
November 1, 2005

PEAF Committee Proposed Changes 11/1/05

Annual Faculty Member and Investigator Financial Interest Disclosure Form

Pursuant to The George Washington University Policy on Conflicts of Interest and Commitment for Faculty and Investigators (May 14, 2004)

The Faculty Senate and the Board of Trustees approved an updated University-wide *Policy on Conflicts of Interest and Commitment for Faculty and Investigators* in May 2004. The full policy is available at my.gwu.edu/files/policies/ConflictofInterestandcommitment.pdf. The policy requires that each faculty member and investigator complete this form yearly.

The purpose of this form is to assist faculty, investigators, and the University in the identification of potential and actual conflicts of interest and to support compliance with applicable government regulations. Because of the complexities of The George Washington University, it is not unusual for an employee to respond affirmatively to one or more of the following questions. An affirmative response in no way implies that a conflict of interest necessarily exists or, if it does, that it cannot be managed. Please be assured that responses to this questionnaire may be submitted on a confidential basis and will be held strictly in confidence. Responses requiring further clarification will be brought to your immediate attention.

Faculty Member or Investigator Name: _____

Department/Unit: _____

College/Unit: _____

PART I (To be completed by all Faculty and Investigators)

A. Definitions

The term *significant financial interest* means

- (1) any stock, stock option, or similar ownership interest in an outside entity by the Faculty Member or Investigator that, alone or together with interests of immediate family members, is valued at least at the lesser of \$10,000 or five percent of the total ownership interests in the outside entity, excluding any interest arising solely by reason of investment by a mutual, pension, or other institutional investment fund over which neither the Faculty Member, Investigator nor any immediate family member exercises control; or
- (2) receipt, individually or collectively by a Faculty Member, Investigator and immediate family members of, or the right or expectation to receive, income, whether in the form of a fee (e.g.,

consulting), salary, allowance, forbearance, forgiveness, interest in real or personal property, dividend, royalty derived from the licensing of technology or other processes or products, rent, capital gain, real or personal property, or any other form of compensation, or any combination thereof, that over the last 12 months exceeded or over the next 12 months is expected to exceed \$10,000 in income of all types; or

(3) that the Faculty Member, Investigator, immediate family member or close family member provides services as a principal investigator for, or holds a management position in, an outside entity; or

(4) that a close family member holds an ownership interest in an outside entity or has a right to receive income from an outside entity, if such ownership interest or right to receive income would be treated as a "significant financial interest" with respect to a Faculty Member or Investigator under (1) or (2), above.

Significant financial interest does not include: (1) salary, royalties or other remuneration from the University; (2) income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities; or income from service on advisory committees or review panels for public or non-profit entities.

The George Washington University (and University) means The George Washington University and any entity owned in whole or in part, directly or indirectly, or controlled by the University, including the Medical Faculty Associates (MFA) and any joint venture.

Gifts are gratuities of money, property, services, or out-of-home entertainment. *Gifts* do not include honoraria (e.g., remuneration or gifts-in-kind) received in connection with (1) participation in seminars, lectures, or teaching engagements sponsored by public or non-profit entities, or (2) service on advisory committees or review panels for public or non-profit entities, or (3) reviewing or other advisory services provided to publishers. Usual and customary business dinners, lunches, and outings are not considered gifts provided there is a business, educational, or non-profit fundraising component. Small items marked with corporate logos also are not considered gifts. Gifts of money can never be accepted.

Immediate family member includes an employee's spouse/domestic partner and dependent children.

Close family member includes an employee's non-dependent children, as well as father, mother, sisters and brothers of the employee and the employee's spouse/domestic partner.

Material conflict of interest means a conflict of interest that has the potential (i) to influence a person's decisions or conduct or (ii) to have a non-trivial impact on the financial situation of a person or an entity in which that person or an immediate family member has a significant financial interest.

To your knowledge means your actual knowledge or knowledge that you should reasonably be expected to have based on information that has been provided to you or is in your possession. *To your knowledge* does not imply a duty to make inquiries to discover facts

that are not known to you or to obtain information that has not been provided to you or is not in your possession.

B. Certification as to Employee and Immediate Family Members

1. Do you have, or does any immediate family member have, any of the relationships, transactions, activities, or financial interests described below in subparagraphs (a) through (h)?

(a) An outside entity in which you have or an immediate family member has a significant financial interest has made, or will make, a gift to The George Washington University of cash or property that will be under your control or will directly support your teaching or research activities.

(b) You have or an immediate family member has a significant financial interest in the proposed or current sponsor of, or a proposed or current subcontractor, vendor, or collaborator for, a sponsored project involving The George Washington University.

(c) You have an actual or proposed technology licensing or commercialization arrangements with an outside entity in which you have or an immediate family member has a significant financial interest and where those arrangements might reasonably be perceived as involving or creating the appearance of a material conflict of interest with your appointment at The George Washington University.

(d) You are or will be personally involved in, or you have or will have the ability to influence the formation or implementation of, a transaction in which The George Washington University, directly or indirectly, is procuring or will procure property, goods or services from an outside entity in which you have or an immediate family member has a significant financial interest.

(e) The design, conduct or reporting of your current or proposed externally funded research at The George Washington University does impact or will foreseeably impact a significant financial interest that you hold or an immediate family member holds in an outside entity.

(f) You are or an immediate family member is a director, officer, sole owner, partner, employee, agent, consultant, or advisor of a business enterprise that to your knowledge supplies The George Washington University with any property, goods, or services.

(g) You have or an immediate family member has a significant financial interest in a business enterprise (excluding any investment representing less than 1

percent of the total equity of a publicly traded entity) that to your knowledge supplies The George Washington University with any property, goods, or services.

(h) You are a director, officer, sole owner, partner, employee, agent, consultant, or advisor of, or you have a significant financial interest in, a business enterprise (other than The George Washington University) that to your knowledge engages in the business of higher education or the delivery of patient care services.

Yes _____ No _____

2. In the past 12 months, to the best of your knowledge, have you or has any immediate family member received a loan of money, property, or services in the amount of \$250 or more (excluding any loan from a bank or other financial institution), or received a gift of money, in any amount or a gift of property, services, or out-of-home entertainment with a value exceeding \$100250, from a business enterprise that to your knowledge supplies property, goods, or services to The George Washington University?

Yes _____ No _____

3. In the past 12 months, to the best of your knowledge, have you received a loan of money, property, or services in the amount of \$250 or more (excluding a loan from a bank or other financial institution), or received a gift of money, in any amount or a gift of property, services, or out-of-home entertainment with a value exceeding \$100250, from a business enterprise (other than The George Washington University) that engages in the business of higher education or patient care services?

Yes _____ No _____

4. Do you have, or does any immediate family member have, any other relationships, transactions, activities, or financial interests that might reasonably be perceived as involving, or creating the appearance of, a material conflict of interest with your appointment at The George Washington University?

Yes _____ No _____

If your answer to any of the above Questions 1-4 is Yes, please give details, including identifying the business enterprise(s) and describing your or your immediate family member's relationship to it, as well as the approximate value of any income or financial interest, loan or gift. (Where more space is required for your answers, please attach additional pages to this questionnaire.)

C. Certification as to Employee and Close Family Members

1. To your knowledge, do you have or does any close family member have any of the relationships, transactions, activities, or financial interests described below in subparagraphs (a) through (g)?

(a) An outside entity in which a close family member has a significant financial interest has made, or it will make, a gift to The George Washington University of cash or property that will be under your control or will directly support your teaching or research activities.

(b) A close family member has a significant financial interest in the proposed or current sponsor of, or a proposed or current subcontractor, vendor, or collaborator for, a sponsored project involving The George Washington University.

(c) You have an actual or proposed technology licensing or commercialization arrangements with an outside entity in which a close family member has a significant financial interest and where those arrangements might reasonably be perceived as involving or creating the appearance of a material conflict of interest with your appointment at The George Washington University.

(d) You are or will be personally involved in, or you have or will have the ability to influence the formation or implementation of, a transaction in which The George Washington University is procuring or will procure property, goods, or services from an outside entity in which a close family member has a significant financial interest.

(e) The design, conduct or reporting of your current or proposed externally funded research at The George Washington University does impact or will foreseeably impact a significant financial interest that a close family member holds in an outside entity.

(f) A close family member is a director, officer, sole owner, partner, employee, agent, consultant, or advisor of a business enterprise that to your knowledge supplies The George Washington University with any property, goods, or services.

(g) A close family member has a significant financial interest in a business enterprise (excluding any investment representing less than 1 percent of the total equity of a publicly traded entity) that to your knowledge supplies The George Washington University with any property, goods, or services.

Yes _____ No _____

2. In the past 12 months, to your knowledge, has a close family member received a loan of money, property, or services in the amount of \$250 or more (excluding any loan from a bank or other financial institution), or received a gift of money in any amount or a gift of property, services, or out-of-home entertainment with a value exceeding \$100250, from a business enterprise that to your knowledge supplies The George Washington University with any property, goods, or services?

Yes _____ No _____

3. To your knowledge, does a close family member have any other relationships, transactions, activities, or financial interests connected to The George Washington University that might reasonably be perceived as involving, or creating the appearance of, a material conflict of interest with your appointment at The George Washington University?

Yes _____ No _____

If your answer to any of the above Questions 1-3 is Yes, please give details, including identifying the business enterprise(s) and describing your close family member's relationship to it, as well as the approximate value of any income or financial interest, loan or gift. (Where more space is required for your answers, please attach additional pages to this questionnaire.)

I certify that all of the foregoing information in **PART I** is true and complete to the best of my knowledge.

Signature

Date

Full Name (Printed)

Position Title

PART II (To be completed by University officials)

Department Chair/Unit Head – Comments and Recommended Actions

_____ To the best of my knowledge, there is no perceived or inappropriate activity or conflict.

_____ I have reviewed this disclosure and recommend the following actions be taken:

Printed Name and Signature

Date

College Dean/Director – Comments and Recommended Actions

_____ To the best of my knowledge, there is no perceived or inappropriate activity or conflict.

_____ I have reviewed this disclosure and recommend the following actions be taken:

Printed Name and Signature

Date

Executive Vice President for Academic Affairs – Comments and Approval

_____ To the best of my knowledge, there is no perceived or inappropriate activity or conflict.

_____ I have read the Financial Interest Disclosure and, if provided, the plan to manage, reduce or eliminate any actual, potential, or apparent conflict of interest. I approve of the Management Plan.

Printed Name and Signature

Date

Exhibit B

PEAF Committee Proposed Revisions 11/01/05

Proposal-Specific Investigator Financial Interest Disclosure Form

Pursuant to The George Washington University Policy on Conflicts of Interest and Commitment for Faculty and Investigators (May 14, 2004)

The Faculty Senate and the Board of Trustees approved an updated University-wide *Policy on Conflicts of Interest and Commitment for Faculty and Investigators* in May 2004. The full policy is available at my.gwu.edu/files/policies/ConflictofInterestandcommitment.pdf. Pursuant to the policy, persons responsible for the design, conduct, or reporting of University sponsored programs (hereinafter "Investigators") must complete this form for each proposal submitted for external funding.

The purpose of this form is to assist faculty, Investigators, and the University in the identification and management of potential and actual conflicts of interest and to support compliance with applicable government regulations. Because of the complexities of The George Washington University, it is not unusual for an employee to respond affirmatively to one or more of the following questions. An affirmative response in no way implies that a conflict of interest necessarily exists or, if it does, that it cannot be managed. Please be assured that responses to this questionnaire may be submitted on a confidential basis and will be held strictly in confidence. Responses requiring further clarification will be brought to your immediate attention

Faculty Member or Investigator Name: _____

Department/Unit: _____

Sponsor: _____

Title: _____

PART I (To be completed by all Investigators)

A. Definitions

The term *significant financial interest* means

(1) any stock, stock option, or similar ownership interest in an outside entity by the Faculty member or Investigator that, alone or together with interests of immediate family members, is

valued at least at the lesser of \$10,000 or five percent of the total ownership interests in the outside entity, excluding any interest arising solely by reason of investment by a mutual, pension, or other institutional investment fund over which neither the Faculty Member, Investigator nor an immediate family member exercises control; or

(2) receipt, individually or collectively by a Faculty Member, Investigator and immediate family members of, or the right or expectation to receive, income, whether in the form of a fee (e.g., consulting), salary, allowance, forbearance, forgiveness, interest in real or personal property, dividend, royalty derived from the licensing of technology or other processes or products, rent, capital gain, real or personal property, or any other form of compensation, or any combination thereof, that over the last 12 months exceeded or over the next 12 months is expected to exceed \$10,000 in income of all types; or

(3) that the Faculty Member, Investigator, immediate family member or close family member provides services as a principal investigator for, or holds a management position in, an outside entity; or

(4) that a close family member holds an ownership interest in an outside entity or has a right to receive income from an outside entity, if such ownership interest or right to receive income would be treated as a "significant financial interest" with respect to a Faculty Member or Investigator under (1) or (2), above.

Significant financial interest does not include: (1) salary, royalties or other remuneration from the University; (2) income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities; or income from service on advisory committees or review panels for public or non-profit entities.

The George Washington University (and University) means The George Washington University and any entity owned in whole or in part, directly or indirectly, or controlled by the University, including the Medical Faculty Associates (MFA) and any joint venture.

Gifts are gratuities of money, property, services, or out-of-home entertainment. *Gifts* do not include honoraria (e.g., remuneration or gifts-in-kind) received in connection with (1) participation in seminars, lectures, or teaching engagements sponsored by public or non-profit entities, ~~or~~ (2) service on advisory committees or review panels for public or non-profit entities, or (3) reviewing or other advisory services provided to publishers. Usual and customary business dinners, lunches, and outings are not considered gifts provided there is a business, educational, or non-profit fundraising component. Small items marked with corporate logos also are not considered gifts. Gifts of money can never be accepted.

Immediate family member includes an Investigator's spouse/domestic partner and dependent children.

Close family member includes an Investigator's non-dependent children, as well as father, mother, sisters and brothers of the Investigator and the Investigator's spouse/domestic partner.

To your knowledge means your actual knowledge or knowledge that you should reasonably be expected to have based on information that has been provided to you or is in your possession. *To your knowledge* does not imply a duty to make inquiries to discover facts that are not known to you or to obtain information that has not been provided to you or is not in your possession.

B. Certification as to Investigator and Immediate Family Members

1. Do you have, or does any immediate family member have, any of the relationships, transactions, activities, or financial interests described below in subparagraphs (a) through (g)?

(a) An outside entity in which you have or an immediate family member has a significant financial interest has made, or will make, a gift to The George Washington University of cash or property that will be under your control or will directly support this sponsored project.

(b) You have or an immediate family member has a significant financial interest in the proposed or current sponsor of, or a proposed or current subcontractor, vendor, or collaborator for, this sponsored project.

(c) You have or an immediate family member has an actual or proposed technology licensing or commercialization arrangement with the proposed or current sponsor of, or a proposed or current subcontractor, vendor, or collaborator for, this sponsored project.

(d) You are or will be personally involved in, or you have or will have the ability to influence the formation or implementation of, a transaction to procure property, goods, or services for this sponsored project from an outside entity in which you have or an immediate family member has a significant financial interest.

(e) The design, conduct or reporting of this sponsored project does impact or will foreseeably impact a significant financial interest that you hold or an immediate family member holds in an outside entity.

(f) You are or an immediate family member is a director, officer, sole owner, partner, employee, agent, consultant, or advisor of a business enterprise that to your knowledge supplies or will supply The George Washington University with any property, goods, or services for this sponsored project.

(g) You have or an immediate family member has a significant financial interest in a business enterprise that to your knowledge supplies or will supply The

George Washington University with any property, goods, or services for this sponsored project.

Yes _____ No _____

2. In the past 12 months, to the best of your knowledge, have you or has any immediate family member received a loan of money, property, or services in the amount of \$250 or more (excluding any loan from a bank or other financial institution), or received a gift of money in any amount, or a gift of property, services, or out-of-home entertainment with a value exceeding \$100250, from: (a) a business enterprise that to your knowledge supplies property, goods, or services to The George Washington University, or (b) a business enterprise (other than The George Washington University) that engages in the business of higher education or patient care services, or (c) the sponsor of, or a subcontractor, vendor, or collaborator for, this sponsored project?

Yes _____ No _____

3. Do you have or does any immediate family member have any other relationships, commitments, or activities that might reasonably be perceived as involving, or creating the appearance of, a conflict of interest with respect to your involvement in this sponsored project?

Yes _____ No _____

If your answer to any of the above Questions 1-3 is Yes, please give details, including identifying the business enterprise(s) and describing your or your immediate family member's relationship to it, as well as the approximate value of any income or financial interest, loan or gift. (Where more space is required for your answers, please attach additional pages to this questionnaire.)

[illegible]

C. Certification as to Investigator and Close Family Members

1. To your knowledge, do you have or does any close family member have any of the relationships, transactions, activities, or financial interests described below in subparagraphs (a) through (f)?

(a) An outside entity in which a close family member has a significant financial interest has made, or will make, a gift to The George Washington University of cash or property that will be under your control or will directly support this sponsored project.

(b) A close family member has a significant financial interest in the proposed or current sponsor of, or a proposed or current subcontractor, vendor, or collaborator for, this sponsored project.

(c) You are or will be personally involved in, or you have or will have the ability to influence the formulation or implementation of, a transaction to procure property, goods, or services for this sponsored project from an outside entity in which a close family member has a significant financial interest.

(d) The design, conduct or reporting of this sponsored project does impact or will foreseeably impact a significant financial interest that a close family member holds in an outside entity.

(e) A close family member has an actual or proposed technology licensing or commercialization arrangement with the proposed or current sponsor of, or a proposed or current subcontractor, vendor, or collaborator for, this sponsored project.

(f) A close family member is a director, officer, sole owner, partner, employee, agent, consultant, or advisor of, or has a significant financial interest in, a business enterprise that to your knowledge supplies or will supply The George Washington University with any property, goods, or services for this sponsored project.

Yes _____ No _____

2. In the past 12 months, to your knowledge, has a close family member received a loan of money, property, or services in the amount of \$250 or more (excluding any loan from a bank or other financial institution), or received a gift of money, in any amount or a gift of property, services, or out-of-home entertainment with a value exceeding \$100250, from: (a) a business enterprise that to your knowledge supplies property, goods, or services to the George Washington University, or (b) the sponsor of, or a subcontractor, vendor, or collaborator for, this sponsored project?

Yes _____ No _____

This image shows a single sheet of white paper with horizontal blue or grey ruling lines. The lines are evenly spaced and run across the width of the page. There is no handwriting or other markings on the paper.

Signature _____

Date _____

Full Name (Printed)

Position Title

PART II (To be completed by University officials)

Department Chair/Unit Head – Comments and Recommended Actions

_____ To the best of my knowledge, there is no perceived or inappropriate activity or conflict.

_____ I have reviewed this disclosure and recommend the following actions be taken:

Printed Name and Signature

Date

College Dean/Director – Comments and Recommended Actions

_____ To the best of my knowledge, there is no perceived or inappropriate activity or conflict.

_____ I have reviewed this disclosure and recommend the following actions be taken:

Printed Name and Signature

Date

September 23, 2005

To: Donald R. Lehman
Executive Vice President for Academic Affairs

From: Peggye Cohen
Assistant Vice President for Institutional Research

Michael King
Professor of Chemistry

Ralph Mueller
Professor of Educational Research

Annie Wooldridge
Assistant Vice President for Faculty Recruitment & Personnel Relations

Maria Cecilia Zea
Professor of Psychology

Re: 2003-2004 Faculty Salary Equity Report

Please find attached the 2003-2004 Faculty Salary Equity Report. Your charge to us came in the late spring of 2003 and the Committee began by outlining the parameters of its task for the following academic year beginning in June 2003. Committee members devoted a considerable amount of time over the course of the 2003-2004 academic year and the following summer, completing the major initial review in September of 2004. The remainder of the past academic year focused on the tedious, but critical task of reviewing substantial data excerpted from annual reports for a select group of faculty. Satisfactory completion of the project is a testament to the hard work and commitment of all of the members of the Committee (particularly the administrative representatives) as well as the cooperation from the offices we approached for additional information.

We trust the report and the recommendations therein will inform decisions regarding future appointments and salary reviews and that the issues referred for further study will be resolved quickly. Needless to say, we are all relieved to complete this important, but time-consuming project. With the submission of this Report, we conclude the task assigned to us. We will also be transmitting a copy of the report to the Faculty Senate Committee on Appointments, Salary and Promotion Policies for consideration on the Senate's agenda if desired. We will be happy to discuss any questions that might arise as a result of our recommendations.

Introduction

This is a report prepared for the Executive Vice President for Academic Affairs on salary equity for regular full-time faculty in the George Washington University. A copy of this report will also be transmitted to the Faculty Senate Committee on Appointments, Salary and Promotion Policies for appropriate referral.

Historical Perspective — General

The University has monitored faculty salary equity since 1973 when, in accordance with the Equal Pay Act of 1962, a major adjustment was made to equalize salaries of women faculty members¹. Traditionally, the EEO Officer for Faculty and the Assistant Vice President for Institutional Research have been delegated the responsibility of monitoring faculty salaries and salary reviews, and reporting any documented inequities to the Executive Vice President for Academic Affairs for review and action. The Faculty Senate participates through the appointment by its Executive Committee of a subcommittee from the Committee on Appointments, Salary and Promotion Policies (ASPP) to advise on these reviews. The general results of the salary review process are then reported to the Faculty Senate through the ASPP Committee. Salary equity reviews are conducted on a regular basis.

For the past 30+ years, salary equity committees have provided oral and/or written reports on the results of their reviews to the Provost/Vice President for Academic Affairs and the Faculty Senate. The most recent written reports were filed in February of 1998 (covering the 1995/96 salaries) and March of 2001 (covering the 1998-1999 salaries). The latter report (March, 2001) presented historical perspectives, which we have attached as appendices, rather than repeat the material here. Generally, we have followed the format employed in that report.

Perspective — The 2003-2004 Reviews

Following consultation with the Chair of the Faculty Senate Executive Committee, Executive Vice President Lehman convened a new Salary Equity Review Committee to conduct the 2003-2004 reviews. The Faculty Senate representatives were Ralph Mueller (GSEHD) and Maria Cecilia Zea (CCAS), while the EVPAA appointed Michael King (CCAS) to be his faculty representative and to chair the team and Assistant Vice Presidents Peggy Cohen (Institutional Research) and Annie Wooldridge (Faculty Recruitment and Personnel Relations) served as the administrative representatives. The committee also invited (with the concurrence of the EVPAA) the participation of Barbara Marshall (Director of Faculty Personnel) and Joachim Knop (Associate Director, Institutional Research). Philip Wirtz, Professor of Management Science and of Psychology, served as the statistical consultant to the Committee.

At its initial meeting the staff members shared previous reports and a history of the process. The Committee agreed that a "working statement" of our task was to "identify apparent

¹ Based on a February 19, 1988, Office of the Provost report.

disparities in the salaries for full-time, regular active status faculty of two people in the same rank and approximately the same situation at the level of a department or non-departmentalized school and to make recommendations to the administration to resolve the apparent disparities." Additionally the following parameters were agreed upon to guide the review process:

- There would be no initial change in the set of non-discriminatory and discriminatory factors that were used in prior Salary Equity Reviews. Those factors were: age, time at the University, highest degree, time since highest degree, field, type of appointment, race/ethnic origin, and sex. Other factors could be considered later, but would need a strong rationale for inclusion.
- The cohort of faculty would include faculty employed on Jan 1, 2003, and exclude clinical medical faculty and faculty departing the University before July 1, 2003. Also excluded from the cohort would be University Professors and any faculty member, whose "primary responsibility was administrative." This group included the President, Vice Presidents, Associate Vice Presidents, Deans, and Associate Deans. Assistant Deans were included in the cohort of faculty as per previous reviews.
- Salaries considered would exclude administrative and special stipends or adjustments and, if necessary, would be adjusted to a nine-month basis.
- "Outliers" from previous studies would be included in this cohort as subsequent salary changes may have brought them back to comparability (either through adjustments for these individuals or to others in comparable categories.)

The Methodology

Two processes were employed to review salary averages: The Automatic Interaction Detector (AID) program, and a revised visual analysis of faculty profiles. The first of these processes, the AID program, was incorporated into the initial equity review process and has been part of it ever since; the second represents an augmentation recommended in the 1995-96 Biennial Review Report and adopted for the first time in the 1998-99 biennial review.

Pursuant to the process followed in prior biennial reviews, the Committee employed the same list of non-discriminatory factors, which would be expected to influence (to one degree or another) salary levels. The factors were: age, time at the University, highest degree, time since highest degree, field, and type of appointment². These factors, together with the discriminatory factors of race/ethnic origin and sex, were used by the AID program to identify the characteristics of faculty at various salary levels.

² Both rank and years in rank were excluded because these factors are subject to similar decision making processes as those that determine salary and thus their use might mask the discrimination the analysis would attempt to reveal.

The AID program segments a group (in this case, the University faculty) into mutually exclusive subgroups by independent variables (field, type of appointment, etc.) that "explain" the largest variation in a stated dependent variable (in this case, salary). The end product is a "tree" with each branch showing the characteristics of the faculty at given salary levels. The program also provides statistics and individual salaries for the final groups identified by the algorithm. This information is used in two ways. First, if any of the discriminatory factors appears in the definition of any group, that group would be carefully scrutinized for possible discriminatory salary allocation. Second, by studying this information, individuals whose salaries are high or low for their "group" can be flagged for review. Thus, the variation not explained by the AID program can be examined on an individual basis.

The second process entailed a visual analysis of faculty profiles — by department (or non-departmentalized school) and rank within department (or non-departmentalized school). For the previous review, Professor Wirtz wrote a computer program to augment the AID analysis by providing additional sensitivity in isolating "significant" salary differences between faculty who were similar in rank and time-in-rank within department (or non-departmentalized school). The program used a statistical "regression line" as the basis for comparison. For the 1998-1999 report, individuals "of interest" were identified if their salary was more than \$5,000 above or below the "regression line"³. The current committee, having discussed the advantages and disadvantages of this and other means for the review process, decided to continue to use this methodology, but chose to apply the more statistically sensitive standard deviation as the measurement device. After careful review, it was agreed that we would distinguish 1.5 and 2.0 standard deviations from the regression line to flag individuals "of interest."

Furthermore, to preserve anonymity, the Committee's visual analysis did not include those cases involving one or two individuals within a given rank in a department. Those cases were reviewed separately by the administrative members of the Committee, AVP's Cohen and Wooldridge, and cases flagged as possible inequities were brought to the committee for discussion. The review of those cases followed a process parallel to that described above.

It should be emphasized that the domain of the second process (i.e. the visual audit of faculty profiles) was restricted by mandate to within-rank-within-department comparisons. While gross comparisons were made between ranks within department, no attempt was made to compare across departments, across schools, or with similar positions at comparable universities and colleges. Some information of that nature from within the University was a component of the AID analysis as noted below.

For each possible inequity discovered, a thorough review by AVP's Cohen and Wooldridge of the annual reports (including, and especially, the chairs' and deans' comments) was conducted and summarized for the committee. Any cases that still appeared disparate were

³ After consultation with Executive Vice President Lehman, it was agreed that factors which lay outside of those considered in this analysis should not account for more than a \$5,000 difference between the "expected value" and the actual salary level of any given faculty member.

sent to the appropriate deans for review and explanation, and for any of those cases that the deans were unable to explain to the committee's satisfaction, AVP's Wooldridge and Cohen conducted a pairwise analysis for presentation to the committee. Finally, those few cases that still appeared to be inequitable were forwarded to EVPAA Lehman for resolution.

The Review Process — AID Analysis

The salary equity review process began with a discussion of past salary equity reviews, a description of the AID program, a discussion of the new visual analysis program, an overview of the process, the development of a framework for the 2003-2004 salary review process, and an initial analysis of the faculty salary profiles. The decision to include the set of "outliers" from previous studies as well as some growth in the size of the faculty led to a total faculty cohort that was approximately 50% larger than the previous review.

2003 AID Analysis compared to 1998 AID Analysis

1998: 557 faculty, 23 total nodes, 12 final leaves, using field, years since highest degree, tenure code (tenure/ten-track vs. Non-Ten-Track), and highest degree explained 66% of variation in salaries

2003: 840 faculty, 35 total nodes, 18 final leaves, using field, years since highest degree, tenure code, and age explained 65% of variation in salaries

Highest salary leaf—average salary increased 41.5% (but 2003 faculty falling into the highest leaf excluded younger Law faculty):

1998: whole Law faculty (n=31)

2003: Law faculty aged ≥ 46.5 (n=38)

1998: Avg Salary=\$109,900

2003: Avg Salary=\$155,478

Second Highest salary leaf--average salary increased 23.7% (Note that in 2003, Business faculty are included with Engineering):

1998: SEAS faculty with ≥ 20 years since highest degree (n=27)

2003: SEAS & SB faculty with ≥ 31.5 years since highest degree (n=34)

1998: Avg Salary=\$93,210

2003: Avg Salary=\$115,305

Lowest salary leaf—average salary increased 12.5%

1998: NTT CCAS, ESIA, GSEHD with <15 years since highest degree (n=45)

2003: NTT Humanities, Phys Sci, GSEHD with less than 6.5 years since highest degree (n=33)
NTT Humanities, Phys Sci, GSEHD with 6.5-16 years since highest degree was 2nd

lowest (n=27)

In 2003, the n was sufficiently large to allow for the additional split.

1998: Avg Salary=\$44,980

2003: Avg Salary (of combined leaves)=\$50,617

Next lowest salary leaf—average salary increased 15.3%

1998: Ten/TT CCAS, ESIA, GSEHD with less than 5 years since highest degree (n=32)
2003: Ten/TT CCAS, ESIA, GSEHD, SPHHS, Basic Sci, younger than 36 with less than 6.5
years since highest degree (n=30)
1998: Avg Salary=\$47,280
2003: Avg Salary=\$54,492

As in the 1998 review, no groups were formed using the discriminatory factors of ethnicity and gender. This suggests that ethnicity and gender are not associated with differences in faculty salaries.

The Review Process — Analysis of Faculty Salary Profiles

The analysis of faculty salary profiles was a “visual” analysis, conducted within rank within department (or non-departmentalized school). The Committee looked for any sizeable salary differences, which escaped identification by the AID program and for which some justification was required. The committee also looked for possible patterns among groups of faculty of the same gender or race.

The Committee began by examining graphs of (anonymous) salaries for each rank within each department (or non-departmentalized school), plotted as a function of time in rank. Each plot also contained the “regression line”, reflecting the “expected salary” based on the entire group of faculty at that rank in that department (or non-departmentalized school). Of particular interest were individuals whose salaries were more than 1.5 standard deviations above or below the regression line. For individual disparities exceeding this threshold, our review included an analysis of the appropriate personnel records by AVP’s Cohen and Wooldridge to determine whether there was a nondiscriminatory explanation for the apparent disparity.

Following the precedent established in the prior review, the Committee also noted those faculty with special considerations that might influence salary. Those considerations include (but are not limited to) the following:

- cases reviewed and documented in previous salary reviews;
- salary offers from other institutions or counteroffers;
- special contractual arrangements;
- other special circumstances (e.g., special hire to fill a unique vacancy/void);
- market factors at the time of hire;
- location or venue issues;
- other factors that might distinguish a particular faculty member from his/her peers.

If the information included in the profile did not provide a reason for a disparity, the name was sent by EVPAA Lehman to the appropriate dean asking for an explanation of the salary variance relative to the faculty norms within the particular department. For those cases that could not be justified to the committee’s satisfaction, a more in depth analysis by the Administrative members of the committee was conducted and brought back to the committee for

discussion. This analysis included a paired analysis, a comparison with another member of the faculty, whose profile was thought to match in terms of discipline, rank and time in rank, etc. Any apparent disparities remaining after this step were forwarded to the Executive Vice President for Academic Affairs for his consideration.

Results of the 2003-04 Review

The initial within-departments; within-rank visual analysis resulted in the flagging of 155 faculty compared to 140 in the prior review, broken down as follows:

Phase I – Visual Analysis

	1998-9 Review	2003-4 Review
CSAS	44	62
ESIA	6	11
GSEHD	12	21
LAW	15	3
SBPM	26	24
SEAS	17	21
SMHS	15	6
SPHHS	5	7
TOTAL	140	155

AVP Wooldridge examined each of these faculty member's annual reports and prepared summaries (anonymous) for the Committee. Review of these summaries explained the salary levels of 81 of the faculty, leaving 74 unexplained apparent disparities requiring a review by the relevant dean. For the 1998-99 review, the number of names remaining at this point was 40.

Of the 74 faculty names submitted for further review, the deans provided sufficient information to resolve all but 18 of the apparent disparities. As a result, the Committee recommended a thorough review of those cases by the administrative members of the Committee, AVP's Cohen and Wooldridge. In addition to the 18 cases identified by the full Committee for further view, there were another 14 faculty - identified by AVP's Wooldridge and Cohen for additional review from their analyses of situations with only one or two individuals at the same rank in the department. (Of the 40 names identified in the 1998-99 review for submission to the Deans, four cases were left for paired review by the administrative members of the committee.)

2003-04 Review	Phase II	Phase III N > 2	Phase III N < 3	Recom. to EVPAA for Review
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CSAS	25	10	7	5
ESIA	3	1		1
GSEHD	8	4		1
LAW	3	0		
SBPM	13	1	5	1
SEAS	14	2		
SMHS	6	0		
SPHHS	2	0	2	
TOTAL	74	18	14	8

The Committee met again in spring 2005 to examine the results of the paired analysis reviews by the Administrative members of the Committee and to discuss those observations in the context of the earlier observed disparities. The paired analyses consisted of a process of comparison between the faculty member of interest and an appropriate comparator from the same rank and department (or non-departmentalized school). Of the 32 cases reviewed, the Committee was able to explain the apparent salary disparities for all but 8 of the faculty examined. It is therefore the recommendation of the committee that EVPAA review the data for these 8 faculty and proceed with an adjustment of their salary if warranted.

Although it appears at first sight that the number of cases requiring administrative review has increased since the last salary equity review and therefore might be cause for concern, we note that for this review the Committee chose to include those faculty excluded in the previous report. In the 1998-99 review 221 faculty were excluded from consideration because they had recently been flagged as outliers, reviewed and no disparity found. The decision by the current Committee to include them added substantially to the pool of reviewed faculty. In a number of instances, it became apparent that circumstances had not changed for many of those faculty and continuation of the lower merit increases (or higher salaries) was appropriate. Furthermore, the use of standard deviations as opposed to fixed dollar figures in the visual analysis phase highlighted a greater number of apparent salary disparities compared to the fixed dollar figure used in the previous analysis. We are delighted to report that the Committee found no inequity within specific groups or fields.

While analysis of apparent salary disparities and recommendations for their resolution, by itself, appears to justify the Committee's efforts, the Committee members identified several additional areas in need of remediation for your consideration.

Issue I: Review of Annual Reports by Chairs and Deans

- In a few instances, we found that annual reports were missing or had not been completed. It is incumbent upon the Chairs and Deans to ensure that the reports are prepared and submitted in a timely manner. Where faculty persist in such delinquency, appropriate remarks in their evaluations should be noted and made part of the record. Additionally, it is critical for copies of the Annual Reports and Comments sections to be forwarded to the Office of Faculty Personnel for inclusion in the faculty's permanent files. We note the persistence of this issue and the steps undertaken to remediate it in recent years. Nonetheless, it remains a concern that calls for continued attention.
- The Committee applauds the continued improvement in the quality of the chairs' comments in the Annual Report review process. Meaningful evaluations lessen the need to move the review process forward to the Dean's Office. The Executive Vice President for Academic Affairs and the Deans have stressed (1) the importance of language clarity and consistency in Annual Reports, (2) the use of evaluation tools/measures (if such exist), and (3) the processes for dialogue and mentoring of faculty throughout the promotion and tenure period, and for senior faculty thereafter. Nonetheless, the number of referrals to the Deans for this review was about 85% greater than in the 1998-1999 review.
- The Committee remains concerned about the way in which some of the Tenured and Full Professors' *changing* roles and responsibilities are viewed and valued. Our analysis, like those of the previous committees, suggests that some senior faculty⁴ may have been disadvantaged for the sanctioned assumption of roles requiring reduction in research and teaching responsibilities. As Deans and Chairs have changed, knowledge of these assignments has been lost, leaving some faculty at-risk in the evaluation process. There needs to be a better mechanism for sharing knowledge among the faculty, chairs, and deans about the impact of faculty roles in areas of school, departmental and/or program administration and service responsibilities.
- As with the previous review, the Committee noted a number of faculty with comparatively low merit adjustments, which were found to be commensurate over multiple years with documented records (as reflected in extensive annual report reviews by the AVP's Cohen and Wooldridge). For some faculty there was little to no remediative effort by the EVPAA, Deans, Chairs, or (most importantly) Faculty of the affected departments to renew energy, build capacity in areas where it is clearly lacking, or find new ways to utilize skills and experience. In other instances there appeared to be no substantive response from the faculty member.

⁴ This issue was not exclusively an issue for senior faculty, but most often apparent in the reports and evaluations of some of the group's members.

Issue II: Hiring of Faculty

The Committee detected a number of instances of significant differences in the hiring salaries for new faculty brought in at the same rank in the same department during the same hiring cycle without sufficient documentation in their formal records. A better monitoring and reporting system is needed to (1) document any basis for such apparent disparities (e.g., experience, sub-discipline, publications record, reputation, market issues, etc.), and (2) prevent undefended disparities from occurring. One such opportunity lies in the Chairs' letters of transmittal recommending the appointment to the Dean and from the Dean to the Executive Vice President. It is at these points, when undefended disparities surface, that the Dean or Executive Vice President should act to resolve the matter and, thereby, prevent the need to address a possible problem in a subsequent salary review.

- Where special terms of appointment occur, expectations should be clearly spelled out in appointment letters. Special arrangements must be explainable and defensible and a copy needs to be a part of the permanent record in the Office of Faculty Personnel. Anomalous hiring practices made the review process more challenging. See Issue III.
- During this review of 2003 faculty salaries, we encountered a number of cases involving non-tenure accruing (contract) faculty for which our evaluation was made more difficult due to the lack of information about their role and performance expectations. Because the responsibilities and expectations of faculty on contract tended to differ based on programmatic needs, it would have been helpful as we considered this cohort of faculty if the letter of appointment clearly outlined position responsibilities.

We are therefore delighted that the Administration already has moved forward aggressively to ameliorate this situation. Now, department chairs and Deans are required to clarify expectations with regard to teaching, research/scholarship, and service for each non-tenure accruing (contract) faculty member as contracts come up for renewal or new appointments are made. Future committees (as well as departments and administrators) will find that expectations have been spelled out in each appointment letter, making comparisons and evaluations more straightforward. We applaud that effort and urge its continuation.

Issue III: Unique Faculty Categories

During the review process, the committee identified a few faculty who were included in the review cohort whose unique circumstances set them apart from others with whom they were being compared. Rather than treat these faculty as exceptions on an ad hoc basis in future reviews, it seemed to us advantageous to resolve the issues in conjunction with appropriate administrative and faculty units prior to the next review. In essence, there should not be any exceptions to our original cohort defined as "full-time, regular active status faculty." In principle, it should be possible to apply uniform standards to define appropriate peer groups for comparison of faculty throughout the University. This process should be established at the outset of the review so as to minimize the number of exceptions to any particular comparison group.

For example, there were several instances where individuals were hired for their administrative skills to undertake specific responsibilities for the University. Since these individuals also have subject degrees, their portfolio generally included some teaching responsibilities. But they were not generally hired through the usual vetting process applied to other departmentally situated faculty whose status and appointments are defined in the Faculty Code. Nonetheless, over time these individuals whose appointments were anomalous have been included in the cohort of departmentally listed faculty and for the purpose of this study were included with specific departments for review. The status of these apparent "de facto" faculty needs to be clarified and appropriate groupings or categories defined for them.

Issue IV: The Committee Workload

- There is a tremendous amount of work that goes into the review process at all levels. We are grateful for the time invested by our administrative colleagues on the Committee and the diligence of all participants in meeting for long stretches to conclude each phase of the process in a timely manner. Perhaps because we started with a fresh cohort that included all faculty, there was more to review. But, it seems clear that without release time for the participants from some portion of their duties this will continue to be a multi-year undertaking and it should be recognized as such.
- Phase III reviews are particularly tedious, requiring substantial time to collect, collate and expurgate identifying terms in the data from multiple annual reports to present to the faculty members of the committee. If future reviews are ever to be more timely, the personnel involved in this activity must be accorded some reduction in workload during the period of analysis.

Recommendations Regarding Future Reviews

We assume that another Review Committee will be reconstituted in some form as faculty salary equity is an important ongoing issue. In preparing for subsequent committees, we urge that consideration be given to the following:

- The review process seems to have been worked out and should not need too much refinement in subsequent years. We commend the use of the visualization process using the standard deviation paradigm to the next committee.
- Faculty for whom the comparison group was too small (i.e. only one or 2 faculty in the same rank in a particular department) were excluded from initial review by the faculty members of the committee to maintain privacy. To save time in the later phase of the review process, it may be appropriate to submit their names to the Deans during the Phase II review process so that clear issues may be resolved before the Phase III reviews begin.
- The committee found the assistance and knowledge of AVP's Cohen and Wooldridge and

Professor Wirtz invaluable in completing this task. We also found that including the Director of Faculty Personnel and the Associate Director for Institutional Research added considerable value to our deliberations and recommend that they continue to be a part of the process.

- We also found it *critically* important for our Committee to have breadth and depth with respect to experience in hiring faculty, in reviewing faculty for promotion and tenure, and to have the knowledge that is built on experience of the difficulties chairs and deans encounter related to many of the matters that our work entailed. While reasonable people may disagree about whether the Committee should be composed *exclusively* of Chairs and former Chairs, the experience and background brought to the Committee's task by such individuals was invaluable to meeting the Committee's mandate. While previous experience on the Committee may have been helpful, the workload and time commitment is too great to place this burden on the same faculty on a continuing basis.
- At numerous points along the way, the deans were instrumental in assisting the Committee in achieving its mandate, and we wish to express our appreciation to the many administration officials who provided invaluable information and insights. We must also note, however, what appeared to be wide variance among the deans in understanding and accepting the EVPAA's mandate to the Committee, and in facilitating the work of the Committee. The Committee wishes to convey to the EVPAA the importance of a universal acceptance of and timely cooperation with the EVPAA's mandate to any successor review committee.

Appendix I

Historical Perspective — The 1998/99 Reviews⁵

Following consultation with the Chair of the Faculty Senate Executive Committee, Vice President Lehman requested the same Committee that had conducted the 1995/96 reviews (Professors Freund, Griffith, and Wirtz; Assistant Vice Presidents Cohen and Wooldridge) to conduct the 1998/99 reviews, and all agreed to do so. Following up on a prior Committee recommendation, Vice President Lehman met with the Committee on July 15, 1999, to ensure that everyone was clear about the expectations and the timetable. At this meeting, Professor Wirtz was commissioned to write a computer program that would augment the AID analysis by providing additional sensitivity in isolating "significant" salary differences between faculty who were similar in rank and time-in-rank within department (or non-departmentalized school). The Committee met once again with Vice President Lehman on September 16, 1999 to finalize procedures for the 1998/99 review.

Who is Reviewed

As in the past, the 1998/99 salary equity review included faculty from across the University. It excluded clinical medical faculty⁶ and faculty departing the University before July 1999. All salary figures were adjusted to a nine-month basis.

The Methodology

Two processes were employed to review salary averages: The Automatic Interaction Detector (AID) program, and a revised visual analysis of faculty profiles. This first of these was determined some years ago by the EEO officer for faculty, in collaboration with a committee of faculty members; the second represents an augmentation recommended in the prior Biennial Review Report and adopted for the first time in the present biennial review.

Pursuant to the process followed in the prior biennial review, the Committee employed the same list of non-discriminatory factors, which would be expected to influence (to one degree or another) salary levels. The factors were: age, time at the University, highest degree, time since highest degree, field, and type of appointment⁷. These factors, together with the discriminatory factors of race/ethnic origin and sex, were used by the AID program to identify the

⁵ That report was based on 1998/99 salaries in order to use the most recent salary data available at the initiation of this effort.

⁶ The structure of clinical medical salaries made it extremely difficult to analyze them for equity purposes.

⁷ Both rank and years in rank were excluded because these factors are subject to similar decision making processes as those that determine salary and thus their use might mask the discrimination the analysis would attempt to reveal.

characteristics of faculty at various salary levels.

The AID program segments a group (in this case, the University faculty) into mutually exclusive subgroups by independent variables (field, type of appointment, etc.), which “explain” the largest variation in a stated dependent variable (in this case, salary). The end product is a “tree” with each branch showing the characteristics of the faculty at given salary levels. The program also provides statistics and individual salaries for the final groups identified by the algorithm. This information is used in two ways. First, if either of the discriminatory factors appears in the definition of any group, that group is to be carefully scrutinized for possible discriminatory salary allocation. Second, by studying this information, individuals whose salaries are high or low for their “group” can be flagged for review. Thus, the variation not explained by the AID program can be examined on an individual basis.

The second process entailed a visual analysis of faculty profiles — by department and rank within department — using the statistical “regression line” as the basis for comparison. Of particular interest were those individuals who are more than \$5,000 above or below the “regression line”⁸. When feasible, a pairing methodology was employed to further locate possible inequities.

For each possible inequity discovered through either of these two processes, a further review — which in all cases included a thorough review by AVP's Cohen and Wooldridge of the annual reports (including, and especially, the chairs' and deans' comments) and in some cases included consultation by AVP's Cohen and Wooldridge with the appropriate dean — was conducted, the results of which were reported to the full committee. If this review failed to explain the disparity by reasonable application of University compensation policies, an adjustment in salary was recommended to the Vice President for Academic Affairs, provisional on better justification for the anomaly.

It should be emphasized that the domain of this second process was restricted by mandate to within-rank-within-department comparisons: while gross comparisons were made between ranks within department, no attempt was made to compare across departments, across schools, or with similar positions at comparable universities and colleges.

The 1998/99 Review Process — AID Analysis

The 1998/99 iteration of the salary equity review process began with a discussion of past salary equity reviews, a description of the AID program, a discussion of the new visual analysis program, an overview of the process, the development of a framework for the 1998/99 salary review process, and an initial analysis of the faculty salary profiles.

Following the precedent established in the prior biennial review, the Committee decided to

⁸ After consultation with Vice President Lehman, it was agreed that factors which lay outside of those considered in this analysis should not account for more than a \$5,000 difference between the “expected value” and the actual salary level of any given faculty member.

identify and document for this and future reviews those faculty with special considerations that might influence salary. These considerations include (but are not limited to) the following:

- cases reviewed and documented in the 1995-96 salary reviews;
- salary offers or counteroffers;
- special contractual arrangements;
- other special circumstances (e.g., special hire to fill a unique vacancy/void);
- market factors at the time of hire;
- other factors that might distinguish a particular faculty member from his/her peers.

Based on University records, approximately 221 faculty were removed from consideration following the Committee's analysis of the AID results and prior to the visual review of individual ranks within departments, broken down as follows:

Exclusions based on 1995/96 review documentation	137
Exclusions based on obvious 1998/99 reasons (approximate)	<u>84</u>
	<u>221</u>

The 1998/99 Review Process — Analysis of Faculty Salary Profiles

The analysis of faculty salary profiles is a "visual" analysis, conducted within rank within department, during which the Committee looked for any sizeable salary differences that escaped identification by the AID program, but which we thought called for some justification.

The Committee began by examining graphs of (anonymous) salaries for each rank within each department (or non-departmentalized school), plotted as a function of time within rank. Each plot also contained the "regression line", reflecting the "expected salary" based on the entire group of faculty at that rank in that department (or non-departmentalized school). Of particular interest were individuals whose salaries were more than \$5,000 above or below the regression line. For individual disparities exceeding this threshold, our review included an analysis of the appropriate personnel records by AVP's Cohen and Wooldridge followed, when necessary, by consultation with the appropriate dean, in order to determine whether there was a nondiscriminatory explanation for the apparent disparity. If the information included in the profile did not provide a reason for a disparity, a recommendation was made to the VPAA for salary adjustment.

This within-departments, within-rank visual analysis resulted in the flagging of 140 faculty, broken down as follows:

CSAS	44
ESIA	6
GSEHD	12
LAW	15
SBPM	26

SEAS	17
SMHS	15
SPHHS	<u>5</u>
Total	<u>140</u>

Out of this review came the list of approximately 40 unexplained, apparent disparities requiring a review by the relevant dean.

Results of the 1998-1999 Review

The Committee sent each of the (approximately) 40 cases noted above to the relevant dean for explanation. The deans provided better justification for all but four cases. As a result, a thorough peer comparison review was conducted for those four.

Each of the final four cases reviewed (all of whom were male) has now been resolved by the administrative members of the Committee. In two cases, better justification established that the faculty member was paid equitably vis-à-vis his counterparts; one faculty member under review retired from University service; and the fourth faculty member received a salary adjustment.

In light of the information gleaned from the two most recent University-wide salary equity reviews, we suggest that the faculty and administration should find satisfaction in the relatively small number of apparent inequities uncovered by our scrupulous investigations, and in the fact that these have all been resolved to the satisfaction of the Office of Academic Affairs.

While discovery of these anomalies, by itself, appears to justify the Committee's efforts, the Committee members identified several *procedural* areas in need of remediation.

Issue I: Review of Annual Reports by Chairs and Deans

- The Committee was quite concerned about the apparent differences in the existing Annual Report review process (language used, separate letters from a dean to faculty members) for faculty whose salaries were in question. After a significant number of blind reviews, the Committee wishes to convey the importance that the Vice President (and others) in the scheduled *new* Chairs (initial and ongoing) training meetings and in the *new* Deans mentoring sessions, identify for the leadership (1) the importance of language clarity and consistency in Annual Reports, (2) use of evaluation tools/measures (if such exist), and (3) processes for dialogue and mentoring for faculty throughout the promotion and tenure period, and for senior faculty thereafter.
- The Committee wishes to underscore its concern that numerous instances were uncovered where, in the determination of salary increases, far more weight appeared to have been placed on scholarship than on any of the other vital functions performed by Faculty (as set forth in Sections IV.B and IV.C of the Faculty Code, which could legitimately be interpreted by Faculty as bases for salary advances.). This de-facto policy puts those who keep the University running at a distinct disadvantage, and needs *thorough* review by the

President, VPAA, and Deans.

- The Committee is quite concerned about the way in which some of the Tenured and Full Professors' *changing* roles and responsibilities are viewed and valued. Our analysis suggests that some senior faculty⁹ may have been penalized for the sanctioned assumption of roles requiring reduction in research and teaching responsibilities. As deans and chairs changed, knowledge of such assignments and agreements about such responsibilities was not well conveyed, leaving some faculty exposed and at-risk in the evaluation process. Faculty, chairs and deans need a better mechanism for developing and sharing knowledge about the impact of senior faculty roles in areas of school, departmental or program administration and service responsibilities/oversight.
- The Committee also uncovered a number of instances where faculty whose comparatively low salary adjustments were commensurate over multiple years with documented records (as reflected in extensive annual report reviews by the AVP's Cohen and Wooldridge). To the best of the Committee's knowledge, there has been no systematic effort by the VPAA, Deans, Chairs, or (most importantly) Faculty of the affected departments to renew energy and build capacity in areas where it is clearly lacking.

Issue II: Hiring of Faculty

- The Committee detected several instances of significant differences in the hiring salaries for new faculty brought in at the same rank in the same department during the same hiring cycle, without sufficient documentation in their formal records. A better monitoring system is needed to (1) document any bases for such apparent disparities (e.g., experience, sub-discipline, publications record, reputation, etc.), and (2) prevent undefended disparities from occurring. Where undefended disparities *have* occurred, a better mechanism is needed to quickly remediate the problem in subsequent salary reviews.

Issue III: The Model and the Committee

- A great deal of the Committee's efforts were focused on identifying and articulating the University's/school's *model* of establishing and maintaining salary equity. In fact, the schools within the University vary widely in the model they are pursuing, and there appears to be no communication about the model between faculty and the deans and department chairs. This leads to rampant misunderstandings, low morale, and (perhaps most perniciously) lack of motivation to achieve shared University objectives.

Recommendations Regarding Future Reviews

⁹ This issue was not exclusively an issue for senior faculty, but most often apparent in the reports and evaluations of some of the group's members.

We assume that a Review Committee will be reconstituted in some form: faculty salary equity is an important ongoing issue. In preparing for subsequent committees, we urge that consideration be given to the following:

1. A clear statement of the task(s) should be provided to the Committee members.
2. A clear and reasonable timeline for the work needs to be established and agreed to by all.
3. A support staff for the AVP's Cohen and Wooldridge needs to be created: there is simply too much work for two people, especially in the context of their other responsibilities.
4. A formal reporting mechanism needs to be established to the VPAA, to the Faculty Senate, and to the ASPP committee.
5. We found it *critically* important for our Committee to have breadth and depth with respect to experience in hiring faculty, in reviewing faculty for promotion and tenure, and to have the knowledge that is built on experience of the difficulties chairs and deans encounter related to many of the matters that our work crossed. While reasonable people may disagree about whether the Committee should be composed *exclusively* of Chairs and former Chairs, the experience and background brought to the Committee's task by such individuals was invaluable to meeting the Committee's mandate.
6. At numerous points along the way, the deans were instrumental in assisting the Committee in achieving its mandate, and we wish to express our appreciation to the many administration officials who provided invaluable information and insights in the process. We must also note, however, what appeared to be wide variance among the deans in understanding and accepting the VPAA's mandate to the Committee, and in facilitating the work of the Committee. Recognizing that different schools in the University may be pursuing different models of compensation policy, and recognizing that an articulation and understanding of these differences is very much in the collective best interest of the University, the Committee wishes to convey to the VPAA the importance of a universal acceptance of and timely cooperation with the VPAA's mandate to any successor review committee.

Appendix II

Historical Perspective — The 1995/96 Reviews

In February 1995, former Vice President for Academic Affairs Roderick French asked the Executive Committee of the Faculty Senate to designate a Senate member and one or two of the faculty to work in cooperation with representatives from Academic Affairs to conduct the 1995/96 review of faculty salaries. The Executive Committee named Professors William Griffith (CSAS) and C. Dianne Martin (SEAS) from the ASPP Committee to represent the faculty. The review was to get underway during the spring of 1995. However, for various

reasons it was postponed until late 1996¹⁰.

The initial mandate of the Committee was to ensure University compliance with the Equal Opportunity Program in terms of the salaries of the Regular Fulltime (excluding Clinical Medical) faculty. With the assistance of the "AID" computer program (which is described in more detail below), the committee identified "outlying observations" (defined as salaries which were more than two standard deviations from the mean of their group) and employed a pairing methodology to further examine situations where potential inequities had been detected.

The review process began in earnest in May 1996. By agreement between the Senate Executive Committee and Professor Griffith, then Chair of the ASPP Committee, and the individuals involved, Professor Martin (by then on sabbatical) was replaced by Professor Maxine Freund (GSEHD) and Professor Philip Wirtz (SBPM) was added as a faculty representative. The remainder of the Committee was comprised of Assistant Vice President Peggye Cohen, Director of Institutional Research, and Annie Wooldridge, Assistant Vice President for Faculty Recruitment & Personnel Relations.

The 1995/96 Review Committee filed its final report with the Vice President for Academic Affairs on February 20, 1998, and Professor Griffith presented a summary of that report to the Faculty Senate on March 13, 1998. In brief, the 1995/96 Review Committee:

- Noted that the AID Program "is probably adequate to identify any gross salary disparities ... but is not sufficiently sensitive to isolate moderately large salary differences between faculty roughly similar in educational credentials, rank, and time-in-rank."

In his March 10, 1998, response, Vice President Lehman requested recommendations from the Committee for additional analytical approaches and computer tools that would assist in achieving the Committee's mandate.

- Reflected concern that too often the record seemed to justify a higher salary for faculty member X over faculty member Y almost entirely in terms of a stronger publication record, with little attention to other reasonable "merit" factors.

In his March 10, 1998, response, Vice President Lehman noted that "I cannot disagree with you that research/scholarship productivity many times becomes the central deciding factor relative to salary standing . . . I would argue that we must always keep in mind that our primary mission here at the University is teaching, followed by research and scholarship. It is not unusual, however, at research universities, to have a cadre of extremely productive research scholars who have salaries that are somewhat higher than those other faculty who are not as productive...this is a very difficult and sensitive area, one where the department

¹⁰ Assistant Vice Presidents Cohen and Wooldridge were committed to a salary review in GSEHD, Dr. French was stepping down as Vice President for Academic Affairs in August 1995, and a newly-appointed Interim Vice President assumed office.

chairs and Deans must weigh in. At the same time though, we must be sensitive to it."

- Recommended that each School's Dean be provided with a list of remaining cases of potential salary disparity for further review and any final decision as to salary adjustments (following any salary adjustments made by the Vice President for Academic Affairs).

In his March 10, 1998, response, Vice President Lehman concurred with this recommendation.

- Recommended that, relative to each year's faculty-merit-increase process, each Dean be provided with printouts of departmental salaries ordering faculty by rank and time in rank.

In his March 10, 1998, response, Vice President Lehman expressed "no problem with that recommendation. My only comment goes back to [an earlier recommendation], that it is a very complex process and this is only one piece of the overall picture."

- Noted that, for various reasons, neither the faculty members nor the administrative members of the Committee began the review with a clear idea of exactly what the other members understood the process to entail nor what their expectations were for "where we should be at the end of the day". Therefore, the Committee recommended that the "Vice President for Academic Affairs should convene a meeting of [the subsequent Committee] to agree on a fairly detailed structure for the review."

In his March 10, 1998, response, Vice President Lehman fully concurred with this recommendation.

- Recommended that, in order to minimize the consumption of time and delay in reaching conclusions, it "would be highly desirable to establish the period of review in an interval or intervals of the academic year (e.g. in May-June-July) when closely-sequenced meetings might be more easily arranged so that concentrated attention could be paid to working through the data and establishing appropriate conclusions within a few months."

In his March 10, 1998, response, Vice President Lehman concurred with the recommendation, and noted that he would "pay attention to that particular aspect, setting deadlines over appropriate time periods, in order to assure that everything gets done in a timely manner."

Date: Tue, 30 Aug 2005 15:40:53 -0400 (EDT)
From: Donald Lehman <lehman@gwu.edu>
To: Michael King <kingm@gwu.edu>, Peggye Cohen <peggye@gwu.edu>,
Annie Wooldridge <abwool@gwu.edu>, Ralph Mueller <rmueller@gwu.edu>,
Maria-Cecilia Zea <zea@gwu.edu>
Cc: Phil Wirtz <pww@gwu.edu>
Subject: ~~2003-04 Faculty Salary Equity Report~~

Michael, Peggye, Annie, Ralph, and Maria:

I want to begin by thanking you for the extensive and diligent work you put into producing the most recent GW Faculty Salary Equity Report. I have read the entire report in detail and can appreciate the thoroughness and meticulousness of your efforts. Including the historical perspective in itself adds significantly to understanding the framework of this particular report. In addition, I do want to thank Phil Wirtz for serving as the statistical consultant to this project. I am sure that Phil's contributions were significant in other ways as well.

I consider the document you sent to me an almost FINAL DRAFT, so I shall comment on your recommendations and ask for one addition/clarification. After you include my addition/clarification, I would appreciate receiving an electronic version of what you consider to be THE report.

With regard to the addition/clarification, please refer to Page -10- of the report, in-particular, the last bulleted item. In that bulleted paragraph, you state that "...are aware that this situation is an issue of continuing concern throughout the University and that some steps have been undertaken to address it (has it?)." The answer is that for ALL non-tenure accruing (contract) faculty appointments, no appointments are made without the department chair and dean clarifying what are the expectations with regard to teaching, research/scholarship, and service. Each appointment letter to each contract faculty member now has these expectations spelled out. There are some contract faculty members who are still under previous appointments of more than three years, typically five, where they have not yet been considered for renewal and are still working under an appointment letter that did not specify the expectations. If they are reappointed, these specifications are being spelled out. As a consequence, I would be grateful if you would clarify this particular bulleted point and state what is being done.

In order to address the "recommendations" of this report, it means that I must also address the "issues" section of the report beginning on page -9-. I shall take them one by one.

Issue I: Review of Annual Reports by Chairs and Deans

There is no excuse for the annual reports in a given faculty member's file being missing. There are a few rare instances where faculty members have not completed the reports. In some instances, the reports have been filed in the school and not forwarded to Academic Affairs. Great effort has gone into trying to get everything that exists into the central files. Obviously, this requires continued and persistent attention and it will get it.

I appreciate the Committee's reporting to me that more cases had to be referred to the deans for review than previously. Judging from the Committee's preceding comments, it appears that even though the evaluation comments are improving, they still do not provide the depth that is necessary to resolve differences. Again this year at the New Chairs' Orientation, I spent considerable time discussing the importance of this work and how it should be done. I plan to make visits to the schools this year to meet with department chairs to remind them of their responsibilities in this task.

With regard to your remaining two bulleted points under this Issue I, the key seems to be for everyone to appreciate how careers evolve and how they

can have different emphases over the years. In addition, it is important for all of us to realize that there are faculty members that do not respond to constructive development when their performances fall just below even a marginal normative standard, let alone cases where performances are below par. All of us must continue to work together as a team to bring everyone up to their highest level of performance within the context of their current responsibilities. When these levels are attained our colleagues must be rewarded for that performance.

Issue II: Hiring of Faculty

I have partially addressed this Issue above. With regard to hiring salaries being disparate if all things are equal, we must assure that this does not occur. On the other hand, the key in this statement is "if all things are equal." Rarely is the latter the case. Nevertheless, explanation and justification must be given when disparities are warranted.

Issue III: Unique Faculty Categories

I would appreciate being given all these cases by name so that I can clarify the situation. I am disappointed that the Committee did not discuss this with me during the review itself.

Issue IV: The Committee's Workload

I am very well aware of the points you make in this section. In parallel, I am sure that you are aware that I am extremely grateful for what all of you have accomplished in accepting this assignment and completing the project in such a complete and detailed manner. Before we start the next review, I shall remind myself of your recommendations in this realm.

Recommendations Regarding Future Reviews

I accept all the recommendations you have put forward concerning future reviews. I especially note that there "...appeared to be wide variance among the deans in understanding and accepting the EVPAA's mandate to the Committee, and in facilitating the work of the Committee." In the future, I shall make sure that the deans fully comprehend their role and my expectations in University-wide salary equity reviews.

In closing, I would like to convey to you that the 8 cases you recommended to me for review have all been handled and appropriate adjustments are being made consistent with the information provided to me by the Committee. These adjustments become effective on 1 January 2006 and are part of the base for the merit-pay increases being recommended as I write.

Again, my sincere thanks to each of you for the outstanding work you did on this report.

Don

Donald R. Lehman
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and
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Date: Sun, 02 Oct 2005 13:34:42 -0400
From: Michael King <kingm@gwu.edu>
To: Donald Lehman <lehman@gwu.edu>
Subject: Re: 2003-04 Faculty Salary Equity Report

Dear Don,

Attached please find the final revision of the Committee's report. A copy has been sent to Murli Gupta, Chair of the ASPP Committee of the Faculty Senate. His committee will begin review of the report during one of their scheduled meetings this fall.

With respect to the 5 concerns/issues you raised in your review of the penultimate draft report, there is little to add at this point.

1. Your concern regarding the clarification of contractual arrangements was addressed in our clarification of the particular bulleted item noting how the administration has been addressing this matter in the last couple of years.
2. Annual reports-We are all in agreement here. As you are aware, while guidelines exist for the handling of annual reports, not all schools have handled them in a manner consistent with your requests. Your continuing efforts to ensure that materials do get to the central files will reduce this issue. I also clarified language in one of the bullets regarding the evolution of careers and continuing to engage our colleagues in the University's mission.
3. Hiring of Faculty-We all agree that "not all things are equal." The problem we found was that the information was not always part of the record. We trust your attention will help to ensure that "explanation and justification" will be part of the record.
4. Unique categories-Because of the way we operated, I cannot give you specific names. However, I discussed the issue with Annie and she will be able to forward names to you to help clarify the issue as it came up in our discussions. I can however mention some categories where these issues arose. I believe the matter arose because we often looked at these individuals as part of a departmental cohort, when in fact their hiring and duties often were unlike those of other "regular" full-time faculty in said department. These "faculty" were often hired outside of regular faculty search process normally associated with departments. They include the Women in Leadership, Honors, Offcampus programs, Mount Vernon, etc. Perhaps these individuals should not be considered in future reviews as part of the departmental cohort, but as a separate unit.
You also mentioned in your note that we did not raise the issue with you as it came up. You are correct that this was a matter that may well have been handled by some discussion. My only comment here is that in some ways we operated in a very autonomous manner, relying on precedent and the advice of our administrative colleagues, who, we know, kept you generally apprised of our work. One thing that did not happen that you may want to consider for future committees, is that we never met as a team with you directly. Perhaps you might consider convening the next committee when they start out and meeting for an interim report as the process moves forward to discuss issues as they arise.
5. Workload-Enough said.

Although the workload was heavy, I think we all appreciated the opportunity to participate in this activity and found the process and materials we reviewed fascinating. We all came away with a deeper appreciation for the unique nature and complexity of the University and of our colleagues in other units.

Best, Michael

Michael M. King, Professor and Chair
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